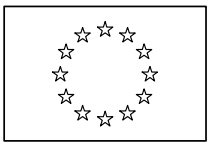

EUROPEAN COMMISSION
DIRECTORATE GENERAL FOR RESEARCH & INNOVATION

The Director-General

Fourth FP7 Monitoring Report

MONITORING REPORT 2010

4 August 2011

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0 EXECUTIVE SUMMARY

The fourth FP7 Monitoring Report covers the implementation of the Framework Programme in the years 2007-2010. It is based on the FP7 monitoring system, which was designed as an internal management tool using a core set of performance indicators.

In section 2 this document provides a detailed analysis of FP7 participation patterns in 2010. FP7 implementation management and quality issues are the focus of section 3 and include the current situation with regard to the simplification process and also the results of a survey on the perception of FP7 implementation and simplification by National Contact Points (NCPs). Section 4 presents some the elements of the Framework Programme which deserve a special focus. Section 5 looks at the early achievements of the programme.

The FP7 Monitoring system is complementary to existing systems of data collecting and monitoring at operational level and within different DGs. While a substantial part of the report is based on existing material which has been already (at least partially) released, each annual Monitoring Report provides an integrated view on the different strands of FP7 activities.

Compared to the previous Monitoring Reports, this fourth FP7 Monitoring Report presents a number of novelties. New features are:

- Lists of top university participants, top research organisations, top industry participants, and top SMEs;
- Information on the participation to FP7 by European regions including a list of top participating EU27 regions;
- More detailed gender participation statistics;
- Two new 'special focus' topics, namely *Information and Communication Technologies* and *Small and Medium Enterprises (SMEs)*.

The following selected facts and figures highlight some of the main findings of this report:

- The *magnitude of FP7* is illustrated by the impressive participation figures: During the first four years of FP7, 245 concluded calls received more than 77.000 proposals, out of which more than 59.000 – involving a staggering more than 312.000 applicant organisations and individuals – were included in the evaluation procedure, and more than 12.000 – involving more than 69.000 participants – were finally retained for negotiations, with a corresponding requested EU funding of € 20,4 billion. These figures also illustrate the impact of FP7 on the European science system and the European Research Area (ERA). Proposals and applicants had an average success rate of 21% and 22%, respectively.
- On the *participation of Small and Medium Enterprises (SMEs)*, it is estimated that during the first four years of FP7 implementation 16,6% of all participants in signed grant agreements were SMEs.
- On the *gender dimension of FP7 participation*, it is estimated that 20,3% of contact persons for scientific aspects in FP7 funded projects, 38,3% of Marie Curie fellows and 21,2% of principal investigators under ERC grants are women. A more detailed analysis shows significant variations among the different thematic areas of FP7 as well as among the EU Member States.

- The significant *international dimension of FP7* is illustrated by the fact that during its first three years it will fund projects with participant organisations from as many as 169 countries. Outside the group of EU and Associated Countries the biggest participants are the USA, China, Russia, Brazil, South Africa, India, and Ukraine.

- On the *redress and ethical review* procedures, out of the 2.105 requests for redress received, only 30 led to a re-evaluation, whereas 1.078 ethical reviews were organised so far with no project having been stopped.

Feedback from readers and users is most welcome as it will help to improve the next reports to be produced under the FP7 monitoring system.

Please, send comments to:

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1 INTRODUCTION

The legislative basis for FP7 states that "the overriding aim of the Seventh Framework Programme is to contribute to the Union becoming the world's leading research area. This requires the Framework Programme to be strongly focused on promoting and investing in world-class state-of-the-art research, based primarily upon the principle of excellence in research [...] The objectives [...] should be chosen with a view to building upon the achievements of the Sixth Framework Programme towards the creation of the European Research Area and carrying them further towards the development of a knowledge-based economy and society in Europe which will meet the goals of the Lisbon strategy in Community policies." [1]

A new structure was designed to capture the broad range of research activities funded by the European Union under FP7. The objectives of FP7 have been grouped into four categories: "Cooperation", "Ideas", "People" and "Capacities". For each type of objective, there is a specific programme that corresponds to one of the main areas of EU research policy. In addition, the Joint Research Centre's (JRC) direct actions relating to non-nuclear research are grouped under a specific programme with its own budget allocation. JRC direct actions in the field of nuclear research and the indirect actions supported by the EURATOM 7th Framework for Programme for Nuclear Research and Training Activities comprise distinct strands of FP7.

That structure can be further broken down into the general headings given in the diagram below. In broad terms:

- The Specific Programme *Cooperation* provides project funding for collaborative, transnational research. The programme is organised through themes such as health, energy, transport etc.
- The Specific Programme *Ideas* provides project funding for individuals and their teams engaged in frontier research. This programme is implemented by the European Research Council (ERC).
- The Specific Programme *People* funds actions to improve the training, career development, and mobility of researchers between sectors and countries world wide. It is implemented through the Marie Curie Actions and Specific Actions to Support ERA policies (in particular EURAXESS).
- The Specific Programme *Capacities* funds actions that are designed to improve Europe's research infrastructure and the research capacity of SMEs. It also hosts smaller programmes relating to *Science in Society*, *Regions of Knowledge*, *Research Potential*, *International Cooperation*, and the *Coherent Development of Research Policies*.

This structure of FP7 is illustrated in Table 1 below. Figure 1 shows the budget breakdown for FP7.

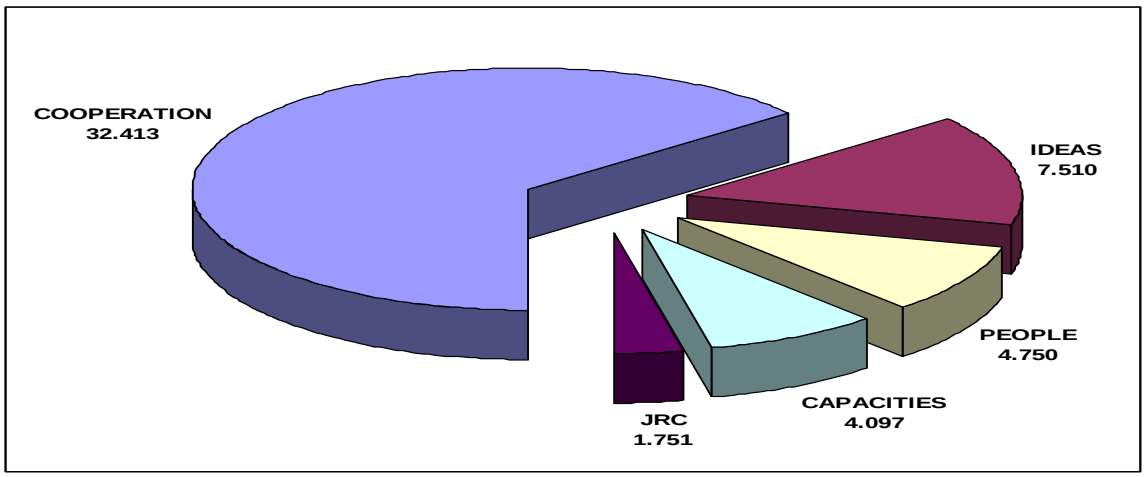
FP7 builds on the achievements and good practice of earlier Framework Programmes with a good deal of continuity both at an operational level and in terms of strategic objectives. There are however, a number of novelties which represent a significant change compared to previous Framework Programmes. These novelties were presented in more detail in the First FP7 Monitoring Report.

[1] Decision No 1982/2006/EC of the European Parliament and of the Council of 18 December 2006 concerning the Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007-2013).

Table 1: Structure of FP7 – Specific Programmes and Thematic Areas.

Specific Programmes	Thematic Areas		Abbreviation used in graphs
COOPERATION	Health		Health
	Food, Agriculture, and Biotechnology		KBBE
	Information and Communication Technologies		ICT
	Nanosciences, Nanotechnologies, Materials and new Production Technologies		NMP
	Energy		Energy
	Environment (including Climate Change)		ENV
	Transport (including Aeronautics)		Transport
	Socio-economic Sciences and Humanities		SSH
	Space		Space
	Security		Security
	General Activities		General
IDEAS	Starting Independent Researcher Grants		ERC
	Advanced Investigator Grants		ERC
PEOPLE	Initial Training of Researchers		MarieCurie
	Lifelong Learning and Career Development		MarieCurie
	Industry - Academia Partnerships / Pathways		MarieCurie
	The International Dimension		MarieCurie
	Specific Actions		MarieCurie
CAPACITIES	Research Infrastructures		INFRA
	Research for the Benefit of SMEs		SME
	Regions of Knowledge		Regions
	Research Potential		Potential
	Science in Society		Society
	Coherent Development of Research Policies		Policies
	Activities of International Cooperation		INCO
EURATOM	Indirect Actions	Fusion Energy	Fusion
		Nuclear Fission and Radiation Protection	Fission
	Direct Actions	Nuclear Field (undertaken by JRC)	
JRC (Direct Actions)	Prosperity in a Knowledge Intensive Society		
	Solidarity and the Responsible Management of Resources		
	Security and Freedom		
	Europe as a World Partner		

Figure 1: FP7 budget breakdown in € million (FP7 EURATOM budget of € 2,7 billion over 5 years not included).



2 FP7 PARTICIPATION PATTERNS IN 2010

2.1 Overall participation

This section aims to provide a comprehensive statistical overview of FP7 implementation in 2010 as well as a comparative overview of the period 2007-2010. The data used in this section are exclusively drawn from the Common Research Data (CORDA) warehouse.[2]

Some of the terms used throughout this section which require definition or clarification are the following:

- A call for proposal is *concluded* when data on the evaluation and selection outcome are available and have already been communicated to the respective FP7 Programme Committees at the time of data extraction.
- The dataset of *included* proposals, on which the analysis of participation patterns and success rates in this section is based, consists of *eligible* proposals, i.e. submitted proposals that fulfil the formal eligibility criteria set by the respective calls for proposals, without taking into account:
  - duplicate and withdrawn proposals;
  - eligible first stage proposals in the case of two-stage calls.
- *Success rates* are always calculated as ratios of *retained* to *included* proposals.

This report is based on statistical data on calls for proposals with closure dates in 2007, 2008, 2009 and 2010, which have been concluded by March 2011. The reported numbers of concluded calls are not final, especially for 2010, and are likely to rise in the course of FP7 as more calls are concluded and recorded in the CORDA database. For this reason the reported statistical data for past years are always retrospectively updated in subsequent Monitoring Reports; this is also applied in this report to the data for 2007, 2008 and 2009, which have been updated according to the latest available information. It is, therefore, important to keep in mind the preliminary nature of the 2010 data included in this report, as later updates are likely to affect the analysis.

Recently signed grant agreements are continuously added in the CORDA database in the course of the Framework Programme implementation, and figures on signed grant agreements are accordingly updated. Due to the constantly changing picture of grant agreement statistics, the time lag of this procedure, and the consequent limited availability of data on grant agreements signed during the most recent year at the moment of data extraction, the Monitoring Reports follow the convention of only presenting cumulative statistics on grant agreements instead of statistics on a year by year basis.

Box 2: Data issues and methodology

The FP7 proposals and participants database contains information on calls for proposals for which validated evaluation and selection data is available centrally and has already been communicated to the respective FP7 Programme Committee configurations. Call-specific evaluation and selection results enter the system almost on a daily basis and are then validated by the responsible Commission services. Commission services cannot be held responsible for the quality and content of applicant-supplied information contained in submitted proposals.

[2] Further details can be found in the document *FP7 Subscription, Performance, Implementation during the first two years of operation, 2007-2008* European Commission, June 2009.

In FP7 the problem of the existence of multiple entries on participants is addressed by the introduction of a 'Unique Registration Facility' (URF) for participants.

Information on the type of activity and legal status, including SME status, at the proposal submission phase is provided by the applicant organisation; this information is not verified by Commission services before the proposal is retained for negotiation and, consequently, is subject to considerable identification and measurement error which limits the reliability of this type of data. It is expected that such inconsistencies will be sorted out with the introduction of more intelligent data acquisition system, such as a revised version of the Electronic Proposal Submission System (EPSS).

Summary statistics on FP7 including proposals, applicants and success rates by funding scheme, applicant activity type and nationality are based on (i) eligible proposal and participants data submitted to single stage calls for proposals and (ii) second stage eligible proposal and participants data for FP7 calls for proposals involving two-stage proposal submission and evaluation procedures, without taking into account data from proposals submitted to the first stage of the calls. First stage proposals are, in most cases, reduced or outline versions of the full proposal and they do not provide data on participants other than the coordinator and, therefore, no meaningful statistics on participant nationality or type of activity can be compiled. Following evaluation, each proposal is associated to an Evaluation Summary Report (ESR) and the resulting evaluation outcome. Those proposals that pass to the second stage of the evaluation are submitted in full together with complete participants' data thus allowing for statistical analysis, and first stage data are overwritten by second stage data. Following the second stage evaluation each proposal is once again associated with the corresponding ESR, evaluation outcome and, finally, an EC decision.

The following limitations in the availability of financial data in "Ideas" and "People" proposals need to be carefully considered when drawing conclusions on the basis of reported statistics:

Applicants' data in proposals submitted under the Ideas (ERC) and People (Marie Curie Actions) specific programmes generally refer to hosting organisations rather than to individual applicants. In proposals submitted under Ideas no activity types are specified for the hosting organisations. In proposals submitted under People data on total cost and requested EU contribution are generally not provided; the only exception is a limited number of People related calls for proposals for Coordination and Support Actions (CSA), which contain data on total cost and requested EU contribution both at proposal and applicant level.

2.1.1 Calls, proposals, applicants and corresponding success rates

The 63 calls for proposals with call closure date in 2010 recorded in CORDA by March 2011 attracted in total 13.547 applications for funding. As in previous years, the large majority of 2010 applications (12.484) was submitted to 57 one-stage calls (see also Table B1 in annex B).

The majority of submitted proposals (92% or 12.397) was 'included' (as defined above), and about a fifth of that (2.582) retained for funding negotiations with an overall success rate of 20,8% – comparable to the average success rate of the 2007-2010 period (21,1%).

At the time of data extraction included and retained proposals involved a total of 57.315 and 13.710 applicants respectively with an overall success rate of 23,9%. The so-far recorded numbers of applicants in retained proposals are generally lower that those of previous years and significantly lower than those recorded in 2009 (19.471), while their success rates are close to those of last year (23,4%) and above the average for the four years (22,2%).

The aggregate figures for the period 2007-2010 show that for a total of 245 concluded calls, 77.064 proposals were submitted, out of which 59.140 – involving 312.677 applicants – were included, and 12.471 – involving 69.370 applicants – retained for negotiations. The average success rate for the three years was 21,1% in terms of proposals and 22,2% in terms of applicants.

2.1.2 Project costs, requested EU contribution and corresponding success rates

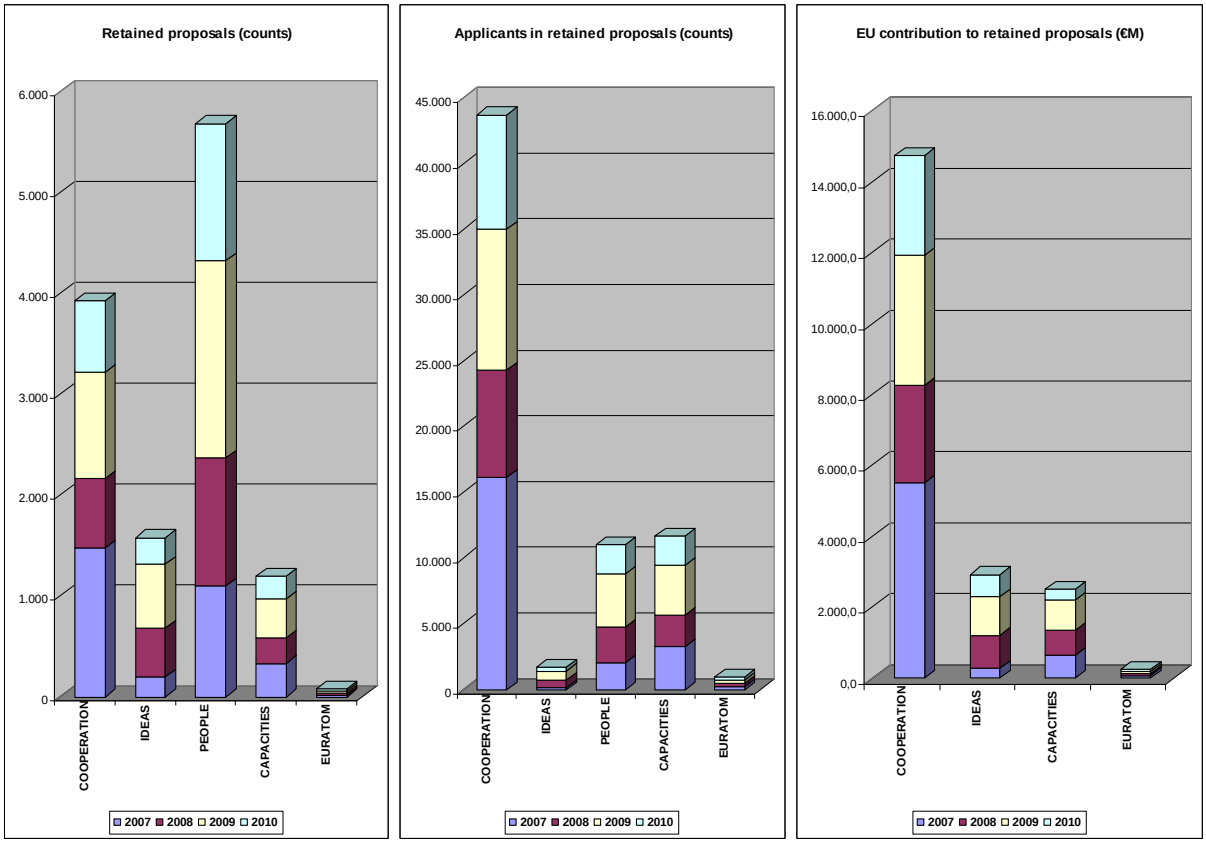
The included proposals, which correspond to the 63 recorded calls in 2010, involved a total project cost of € 23,3 billion with a requested EU contribution of € 17,8 billion. After the evaluation and selection stage the total project cost of the retained proposals is € 5,2 billion,

which corresponds to a success rate of 22,2%, and the requested EU contribution is € 3,8 billion, corresponding to a success rate of 21,5%.

The aggregate project cost of the retained proposals for the period 2007-2010 is € 27,8 billion and the corresponding EU financial contribution is € 20,4 billion with a corresponding average success rate of 20,3%.

For more detailed statistics on the numbers of included and retained proposals, applicants, budgets and the corresponding success rates see also Figure 2 below, as well as Table B2 in Annex B[3].

Figure 2: Numbers of proposals, applicants and amounts of requested EU financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007, 2008, 2009 and 2010 by specific programme.



Specific Programme COOPERATION

Almost two thirds (41) of all recorded calls in 2010 were launched under the Specific Programme *Cooperation*. Under *Cooperation*, more than a quarter of all included (3.494) and retained (705) proposals were received, involving about two thirds of all applicants (36.785 and 8.716 respectively).

The aggregate figures for FP7 subscription and participation under Cooperation in 2010 in terms of numbers of proposals, applicants and amounts of budgets as recorded in CORDA at the time of data extraction (March 2011) are significantly lower than those in 2009, both in

[3] When comparing the information provided for the different years, it should be kept in mind that in 2007, European Research Council (ERC) calls were heavily oversubscribed: Out of the 9.167 submitted proposals addressing the two-stage ERC calls, only 6% (547) were admitted to the second stage and as little as 2% (201) were retained.

terms of included and retained proposals, while success rates are generally higher than those in past years (see Table B2 in Annex B).

About a fifth of all retained proposals, applicants and requested EU financial contribution under Cooperation in 2010 come from the thematic area of *Transport*, followed by *Environment* (16,6% of proposals), *Information and Communication Technologies* (14,6% of proposals), and *Health* (12,9% of proposals), with the highest success rates (with the exception of *General Activities*) recorded in *Nanosciences, Nanotechnologies, Materials and New Production Technologies.*

Specific Programme IDEAS (European Research Council)

As recorded in the CORDA database, a single concluded one-stage call involving three deadlines with closure date in 2010 which was launched by the European Research Council (ERC) attracted 2.009 proposals, 1.967 of which were included in the selection but only 266 of those were retained for negotiations – representing a tenth of the total number of retained proposals in 2010 – with a corresponding success rate of 13,5%.

The corresponding requested EU contribution amounts to an estimated € 623,1 million or 16,3% of the total, and a success rate of 14,5%.

Specific Programme PEOPLE (Marie Curie Actions)

The 8 concluded calls with call closure date in 2010 which were launched under the Specific Programme *People* as recorded in the CORDA database received around half of all included and retained proposals (5.764 and 1.363 respectively) with 13,6% and 16,3% of all applicants respectively.

The recorded success rates were 23,6% at the level of proposals and 28,6% at the level of applicants (see Figure 4).

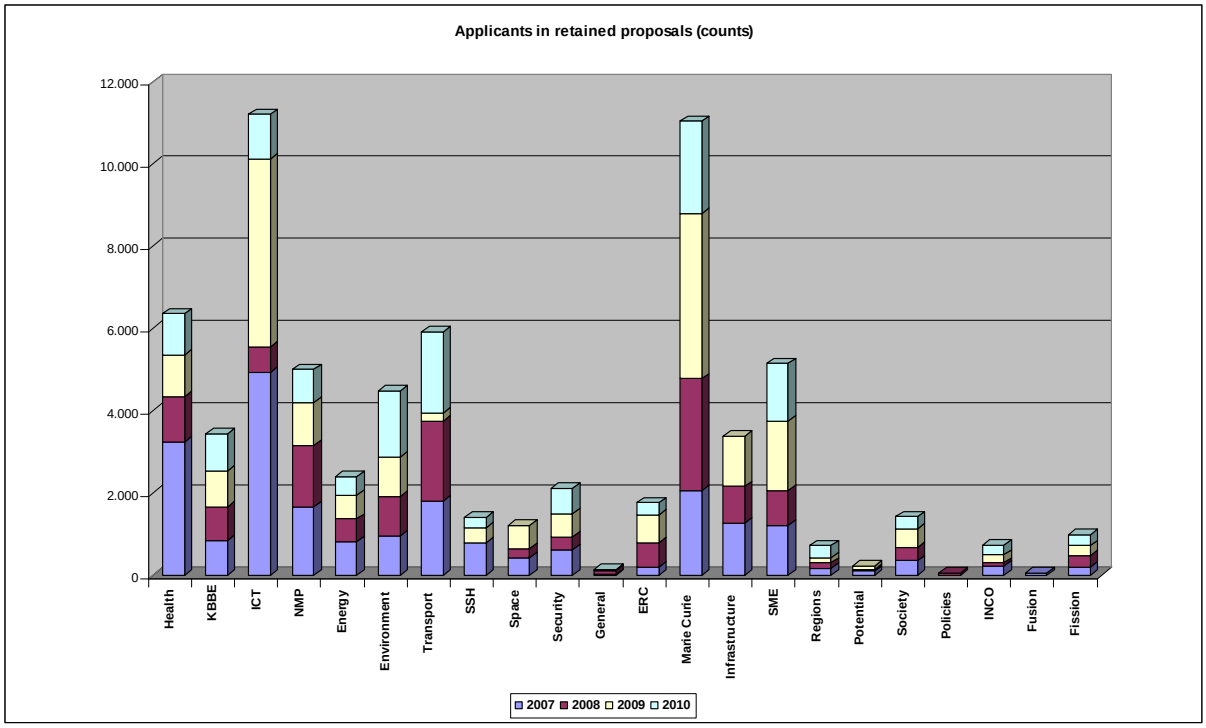
Due to the specific design of a number of the Marie Curie Actions (financial support to individual researchers in liaison with a 'host organisation' as legal entity – see box 1 for a more detailed explanation) the CORDA database does not provide comprehensive information on projects costs and corresponding EU financial contribution.

Specific Programme CAPACITIES

The 10 single-stage calls with call closure date in 2010, which were launched under the Specific Programme *Capacities*, attracted less than a tenth of all included and retained proposals, with numbers of applicants and amounts of requested EU contribution considerably lower than those of previous years.

The thematic area with by far the largest share of retained proposals under Capacities was *Research for the benefit of SMEs* (71% of proposals), corresponding to almost two thirds of the entire budget of the Capacities programme for 2010.

Figure 3: Numbers of applicants and amounts of requested EU financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007, 2008, 2009 and 2010 by thematic area.



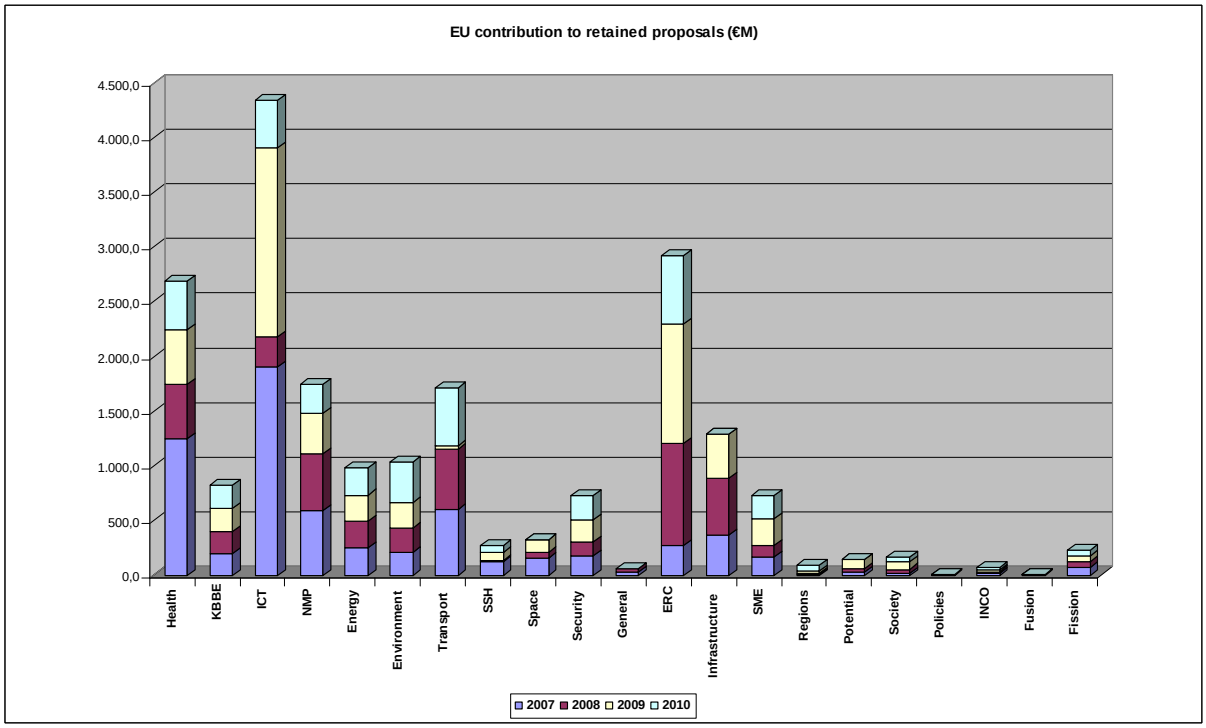
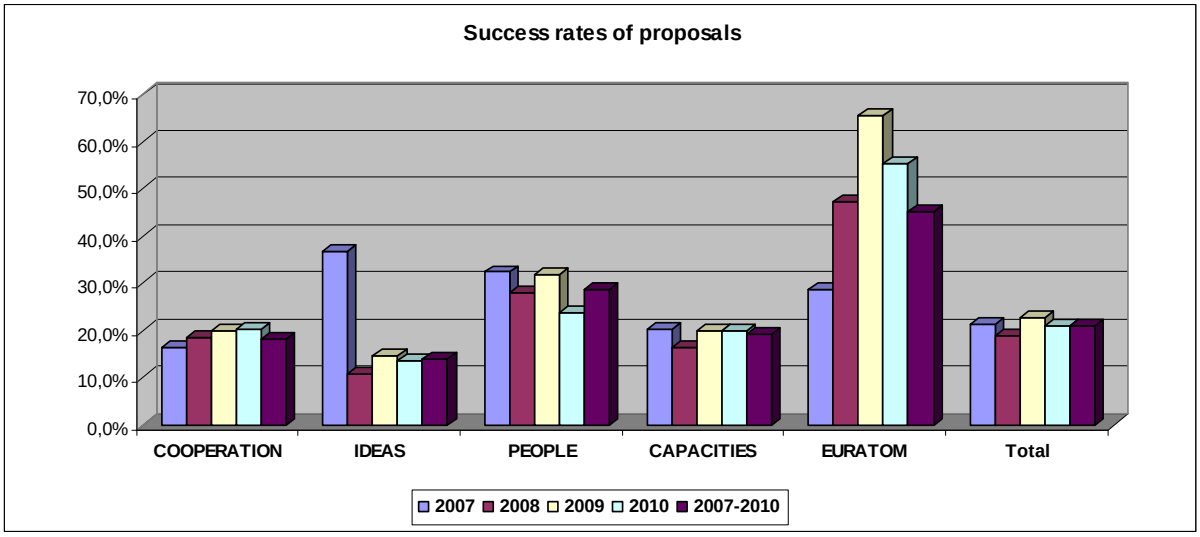
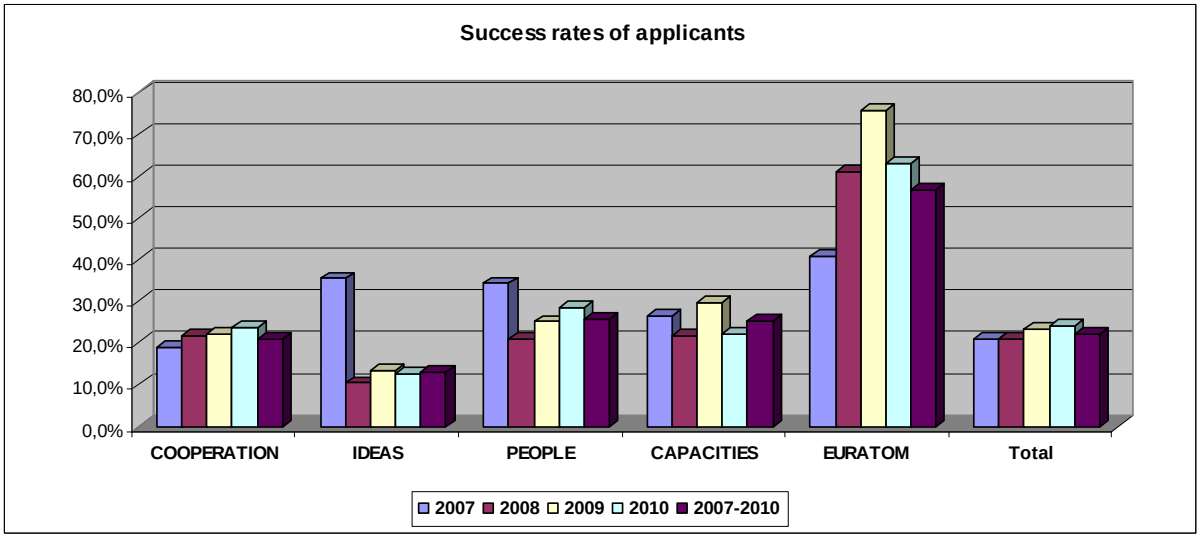
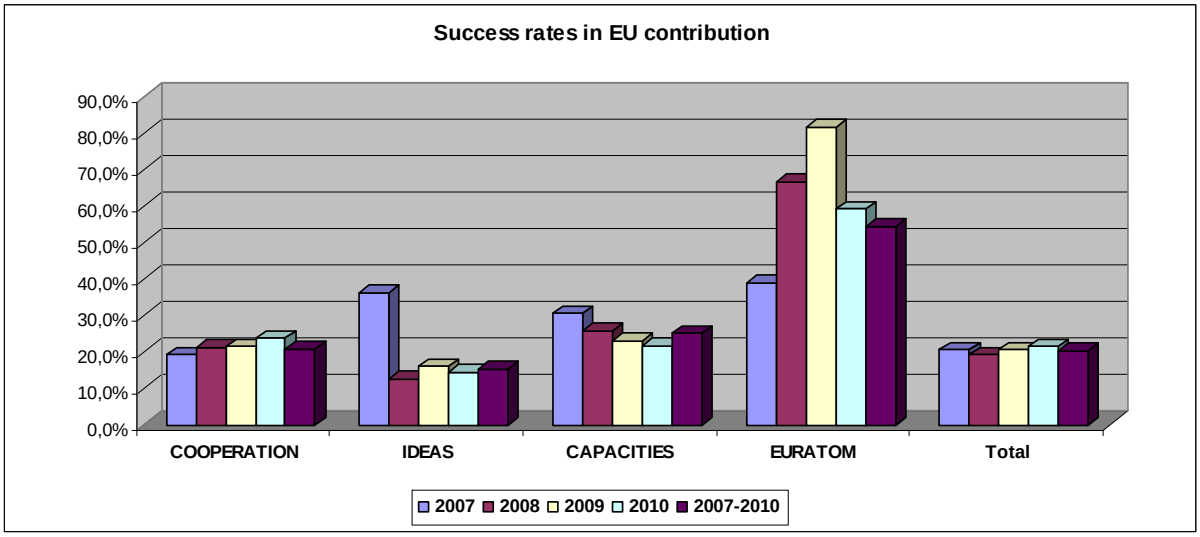


Figure 4: Success rates in proposals, applicants and requested EU financial contribution for FP7 calls concluded in 2007, 2008, 2009, and 2010 by specific programme.





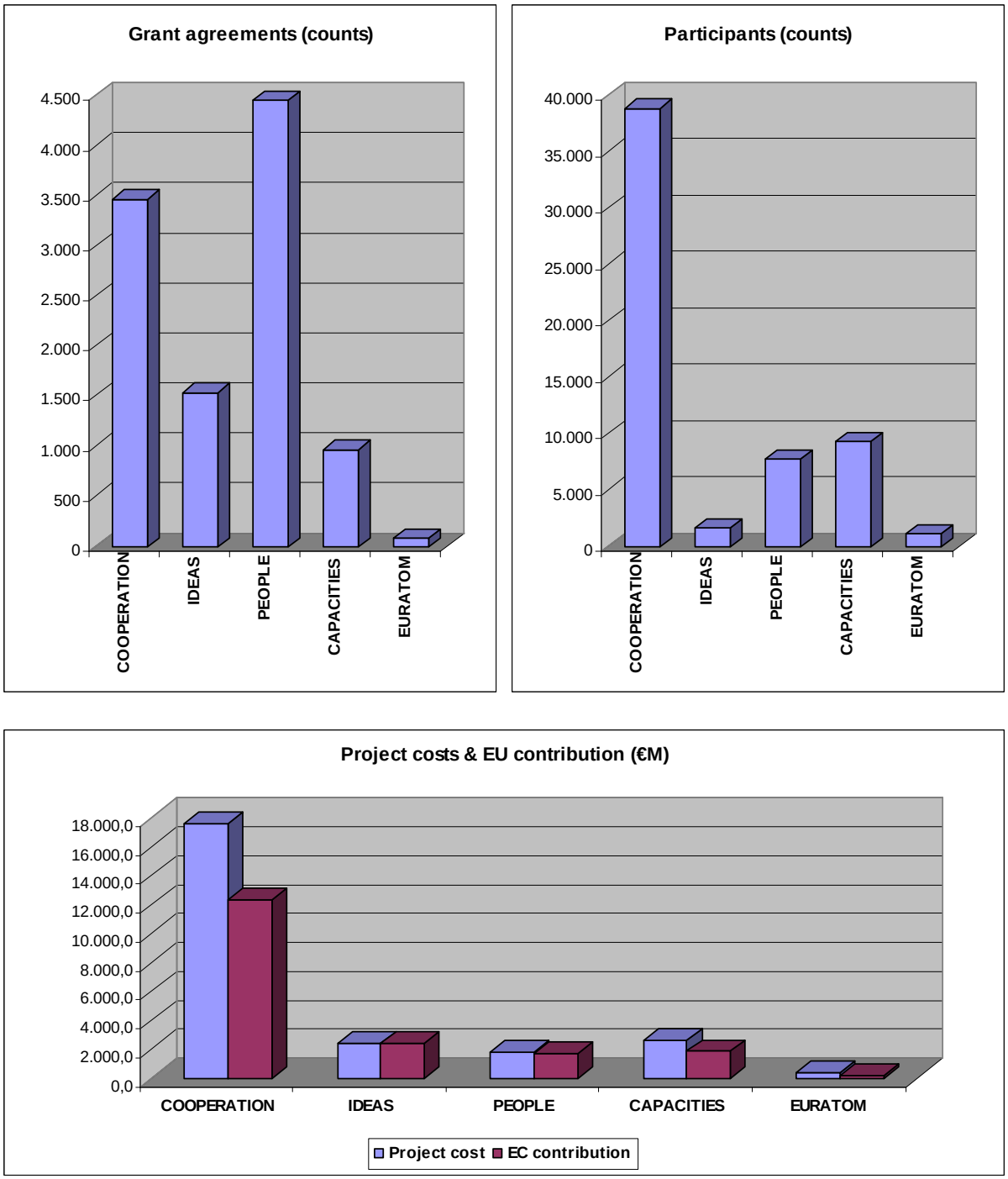


2.1.3 Signed grant agreements, participants and EU contribution

As explained in the introductory paragraph of this section, recently signed grant agreements are continuously added in the CORDA database. Given the constantly changing picture of the statistics on grant agreements due to the continuous update of the database, it is deemed more informative to examine the cumulative situation, as presented in Figure 5 below (see also Table B4 in annex B).

For the concluded calls with closure dates in 2007-2010 as of March 2011, 10.524 grant agreements have been signed, which involve 58.945 participants and will be funded by the EU with € 18,5 billion.

Figure 5: Numbers of signed grant agreements, participants and amounts of project costs and EU financial contribution (in € million) for FP7 calls concluded during the period 2007-2010 (as of March 2011).



2.2 Participation by funding scheme

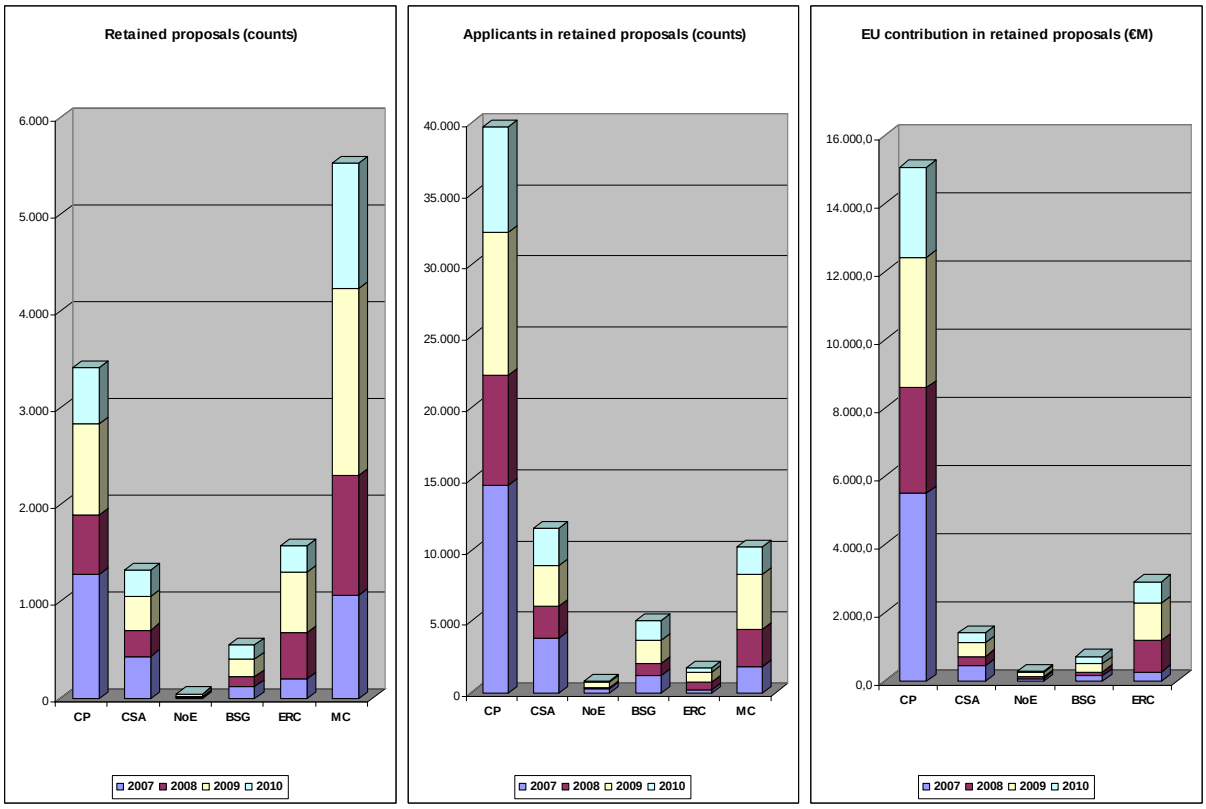
This report examines the following funding schemes which have been employed in FP7:

- Collaborative Projects, including combinations of Collaborative Projects and Coordination and Support Actions (CP)
- Coordination and Support Actions (CSA)
- Networks of Excellence (NoE)
- Research for the Benefit of Specific Groups (BSG)
- European Research Council (ERC)
- Marie Curie Actions (MCA)

Similarly to previous years, in 2010 *Marie Curie Actions* attracted by far the largest number of included and retained proposals (half of the total) followed by *Collaborative Projects* with about a quarter of the total. However, Collaborative Projects made up more than half of the total numbers of applicants and more than two thirds of the total requested EU contribution in retained proposals.

Only 6 retained proposals were recorded under the *Networks of Excellence* funding scheme involving a mere 93 applicants.

Figure 6: Numbers of retained proposals, numbers of applicants and amounts of requested EU financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007, 2008, 2009 and 2010 by funding scheme.



2.3 Participation by type of organisation

Data on the type of activity of participating organisations in FP7 is collected according to a classification scheme which groups organisations in the following categories:

- Higher or secondary education (HES)
- Private for profit (excluding education) (PRC)
- Public body (excluding research and education) (PUB)

- Research organisations (REC)
- Other (OTH)

Figure 7 below presents a breakdown of the numbers of applicants and amounts of requested EU contribution (in € million) in retained proposals during the period 2007-2010 by type of organisation.

Figure 7: Numbers of applicants and amounts of requested EU financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007, 2008, 2009 and 2010 by type of organisation.

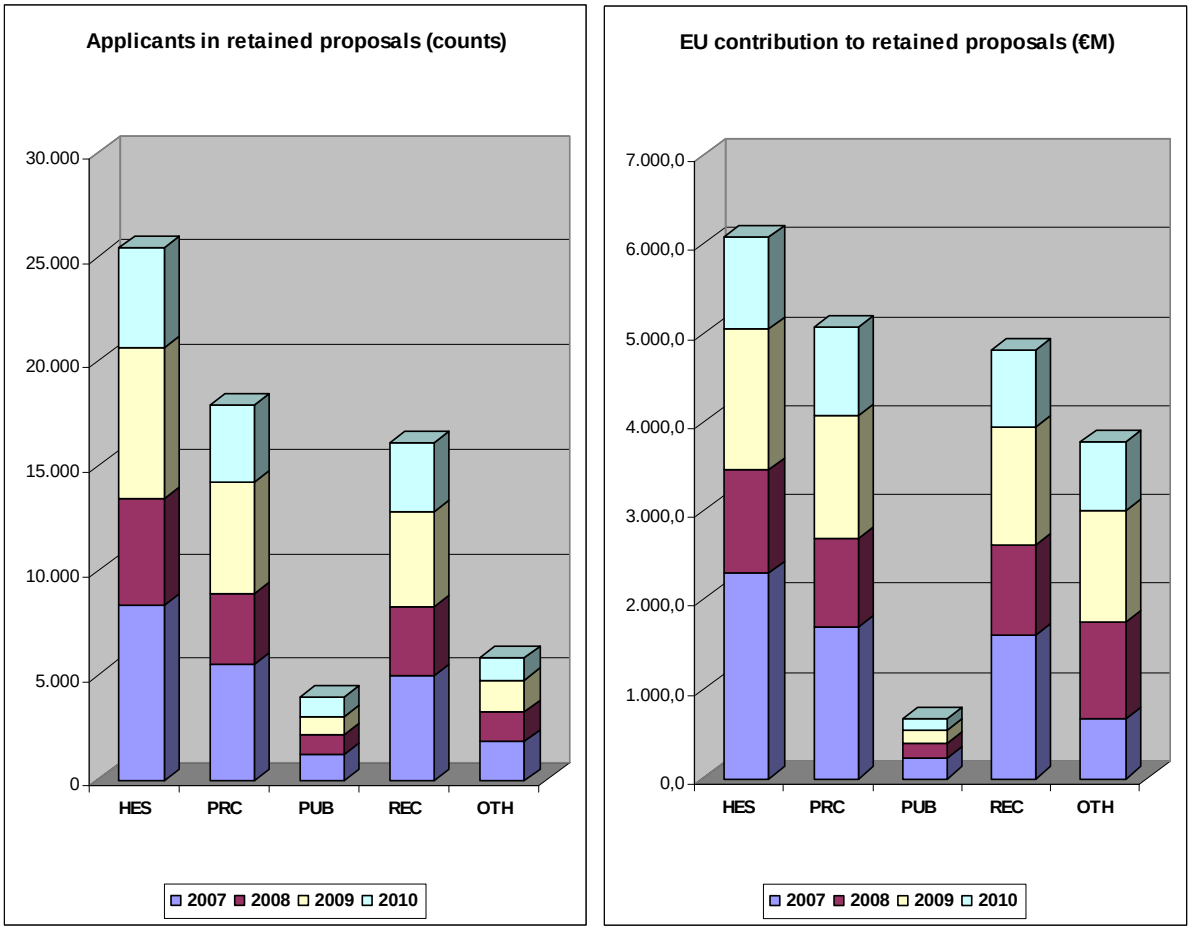
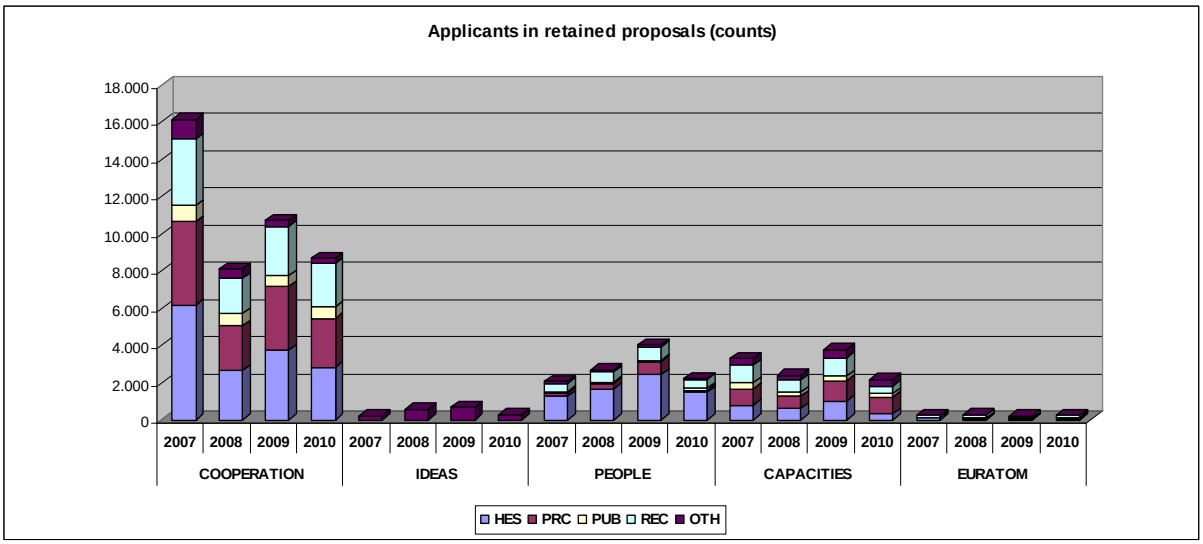


Figure 8 below presents a breakdown by type of organisation and by Specific Programme of the numbers of applicants and amounts of requested EU contribution (in € million) in retained proposals during the period 2007-2010.

Figure 8: Numbers of applicants and amounts of requested EU financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007, 2008, 2009 and 2010 by type of organisation and specific programme.



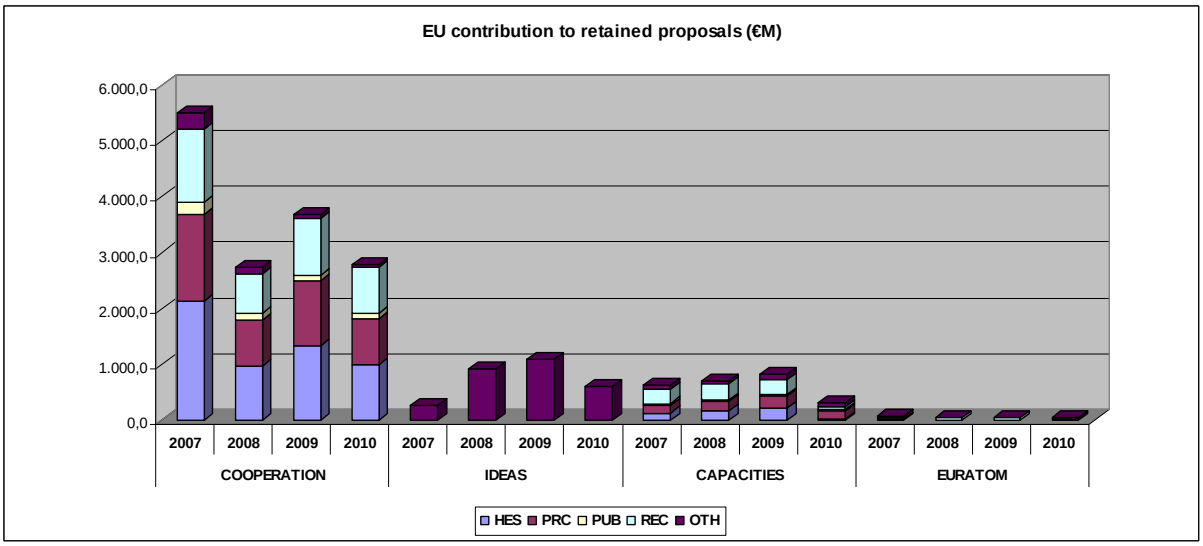
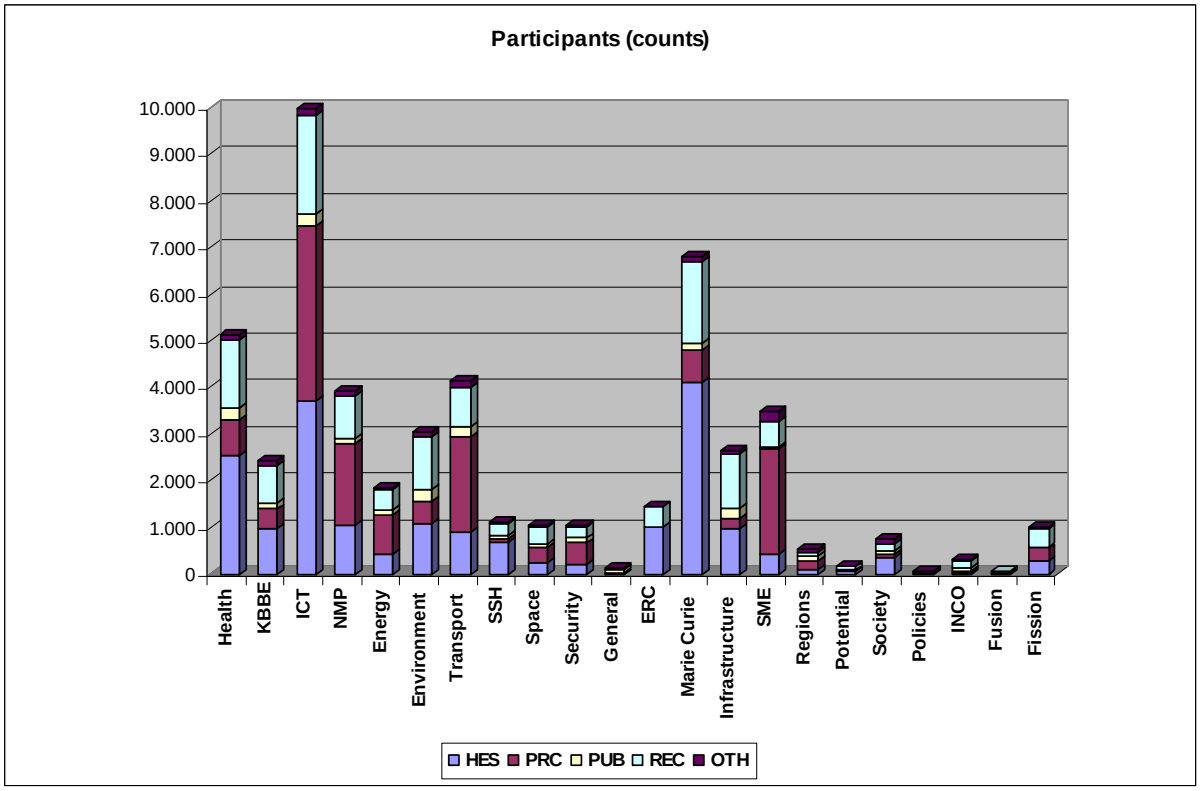
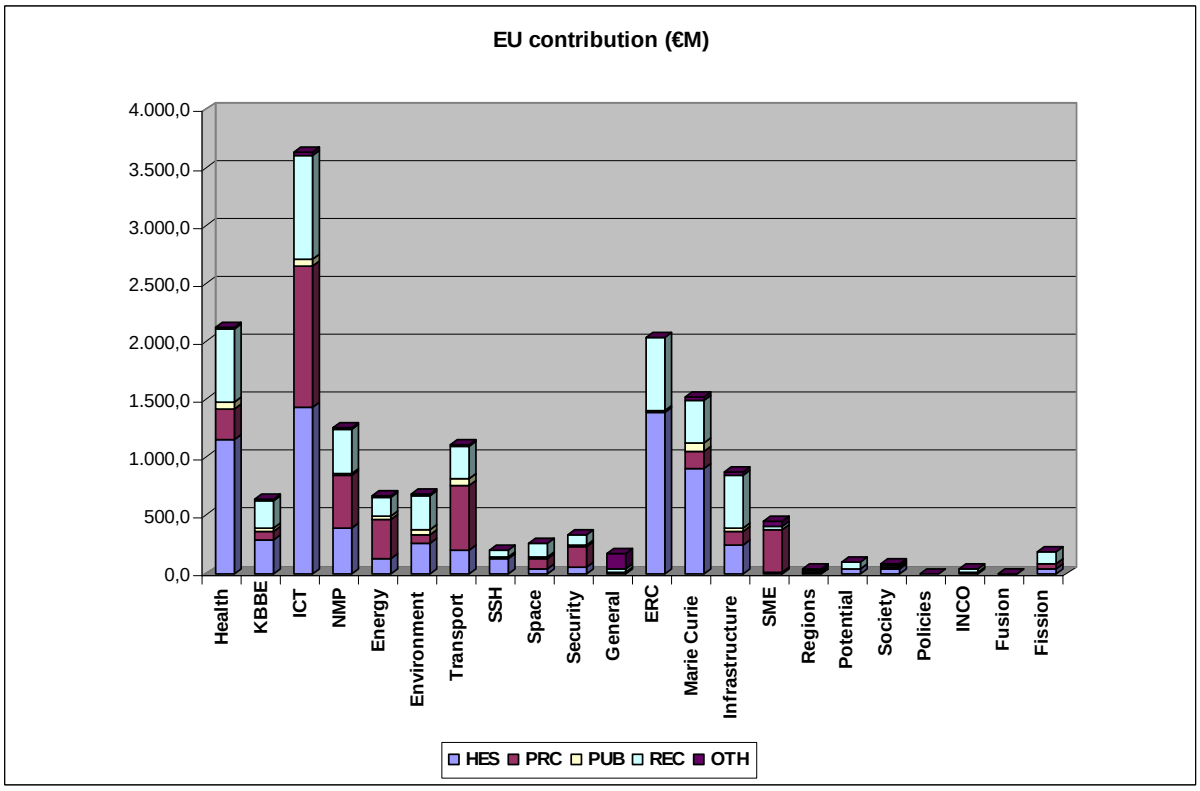


Figure 9 below shows the breakdown by type of organisation and by thematic area of the cumulative counts of participants and amounts of EU financial contribution (in € million) in grant agreements during the period 2007-2010 (as of March 2010).

Figure 9: Number of participants and amounts of EU financial contribution in signed grant agreements for FP7 calls concluded during the period 2007-2010 (as of March 2011) by type of organisation and thematic area.





2.3.1 Academia participation

Higher and secondary education institutes (HES) remain in 2010 the main beneficiaries of FP7, in terms of both numbers of applicants and requested EU funding, with respectively more than a third and more than a quarter of the total in retained proposals.

Top academic participants

Table 2 below presents the general and within-group rankings of the 50 higher or secondary education institutions with the highest numbers of FP7 participations in signed grant agreements during the period 2007-2010.

Table 2: Ranking of top 50 participant HES organisations in FP7 signed grant agreements in terms of counts of participations for the period 2007-2010.

HES RANK	OVERALL RANK	INSTITUTION NAME	COUNTRY
1	6	UNIVERSITY OF CAMBRIDGE	UK
2	8	IMPERIAL COLLEGE OF SCIENCE, TECHNOLOGY AND MEDICINE	UK
3	9	UNIVERSITY OF OXFORD	UK
4	10	EIDGENOESSISCHE TECHNISCHE HOCHSCHULE ZUERICH	CH
5	11	KATHOLIEKE UNIVERSITEIT LEUVEN	BE
6	12	ECOLE POLYTECHNIQUE FEDERALE DE LAUSANNE	CH
7	13	UNIVERSITY COLLEGE LONDON	UK
8	17	KARLSRUHER INSTITUT FUER TECHNOLOGIE	DE
9	18	KAROLINSKA INSTITUTET	SE
9	18	DANMARKS TEKNISKE UNIVERSITET	DK
11	21	UNIVERSITY OF EDINBURGH	UK
12	22	LUNDS UNIVERSITET	SE
13	23	UNIVERSITY OF MANCHESTER	UK
14	24	TECHNISCHE UNIVERSITEIT DELFT	NL
15	26	KØBENHAVNS UNIVERSITET	DK
16	27	KUNGLIGA TEKNISKA HOEGSKOLAN	SE
17	31	UNIVERSITY OF SOUTHAMPTON	UK
18	32	VERENIGING VU-WINDESHEIM	NL
19	33	CHALMERS TEKNISKA HOEGSKOLA	SE
20	34	UNIVERSITEIT GENT	BE
21	35	WAGENINGEN UNIVERSITEIT	NL
22	36	UNIVERSITY OF NOTTINGHAM	UK
22	36	HELSINGIN YLIOPISTO	FI
24	39	UNIVERSITY OF SHEFFIELD	UK
25	41	UNIVERSIDAD POLITECNICA DE MADRID	ES
25	41	HEBREW UNIVERSITY OF JERUSALEM	IL
27	43	UNIVERSITEIT UTRECHT	NL
27	43	ALMA MATER STUDIORUM-UNIVERSITA DI BOLOGNA	IT
29	45	UNIVERSITY OF LEEDS	UK
29	45	UNIVERSITAET STUTTGART	DE
29	45	AARHUS UNIVERSITET	DK
32	48	UNIVERSITAET ZUERICH	CH
33	50	UNIVERSITY OF BRISTOL	UK
33	50	UPPSALA UNIVERSITET	SE
35	52	STICHTING KATHOLIEKE UNIVERSITEIT	NL
35	52	TECHNISCHE UNIVERSITAT BERLIN	DE
37	54	UNIVERSITY OF NEWCASTLE UPON TYNE	UK
38	55	TECHNISCHE UNIVERSITAET DRESDEN	DE
38	55	RHEINISCH-WESTFAELISCHE TECHNISCHE HOCHSCHULE AACHEN	DE
38	55	WEIZMANN INSTITUTE OF SCIENCE	IL
38	55	KING'S COLLEGE LONDON	UK
42	59	POLITECNICO DI MILANO	IT
42	59	UNIVERSITA DEGLI STUDI DI ROMA LA SAPIENZA	IT
44	61	UNIVERSITE DE GENEVE	CH
45	62	TECHNION - ISRAEL INSTITUTE OF TECHNOLOGY	IL
46	63	TECHNISCHE UNIVERSITEIT EINDHOVEN	NL
47	64	TECHNISCHE UNIVERSITAET WIEN	AT
48	65	TEL AVIV UNIVERSITY	IL
48	65	AALTO-KORKEAKOULUSAATIO	FI
50	67	TECHNISCHE UNIVERSITAET MUENCHEN	DE

2.3.2 Participation of research organisations

Top research organisation participants

Table 3 below presents the general and within-group rankings of the 20 research organisations with the highest numbers of participations in FP7 signed grant agreements during the period 2007-2010. It is worth noting that these organisations also occupy the highest positions in the overall ranking of participations in FP7.

Table 3: Ranking of top 20 participant REC organisations in FP7 signed grant agreements in terms of counts of participations for the period 2007-2010.

REC RANK	OVERALL RANK	INSTITUTION NAME	COUNTRY
1	1	CENTRE NATIONAL DE LA RECHERCHE SCIENTIFIQUE	FR
2	2	FRAUNHOFER-GESELLSCHAFT ZUR FOERDERUNG DER ANGEWANDTEN FORSCHUNG	DE
3	3	COMMISSARIAT A L ENERGIE ATOMIQUE ET AUX ENERGIES ALTERNATIVES	FR
4	4	MAX PLANCK GESELLSCHAFT ZUR FOERDERUNG DER WISSENSCHAFTEN	DE
4	4	CONSIGLIO NAZIONALE DELLE RICERCHE	IT
6	6	CONSEJO SUPERIOR DE INVESTIGACIONES CIENTIFICAS	ES
7	14	INSTITUT NATIONAL DE LA SANTE ET DE LA RECHERCHE MEDICALE	FR
8	15	TEKNOLOGIAN TUTKIMUSKESKUS VTT	FI
9	16	DEUTSCHES ZENTRUM FUER LUFT- UND RAUMFAHRT	DE
10	18	JOINT RESEARCH CENTRE- EUROPEAN COMMISSION	EU
11	25	NEDERLANDSE ORGANISATIE VOOR TOEGEPAST NATUURWETENSCHAPPELIJK ONDERZOEK	NL
12	28	FOUNDATION FOR RESEARCH AND TECHNOLOGY HELLAS	EL
13	29	STICHTING DIENST LANDBOUWKUNDIG ONDERZOEK	NL
14	30	FUNDACION TECNALIA RESEARCH & INNOVATION	ES
15	36	INSTITUT NATIONAL DE RECHERCHE EN INFORMATIQUE ET EN AUTOMATIQUE	FR
16	40	INSTITUT NATIONAL DE LA RECHERCHE AGRONOMIQUE	FR
17	48	INTERUNIVERSITAIR MICRO-ELECTRONICA CENTRUM VZW	BE
18	70	MEDICAL RESEARCH COUNCIL	UK
18	70	CENTRE FOR RESEARCH AND TECHNOLOGY HELLAS	EL
20	80	CENTRO RICERCHE FIAT SCPA	IT

2.3.3 Industry participation

Industry participation in the context of this report means the participation of private for profit organisations (PRC), with SMEs being a sub-group.

Similarly to previous years, in 2010 private for profit organisations (PRC) account for more than a quarter of the total number of applicants and the total amount of requested EU contribution in retained proposals.

Top industry participants

Table 4 below presents the general and within-group rankings of the 50 private-for-profit organisations with the highest numbers of FP7 participations in signed grant agreements during the period 2007-2010. It is interesting to note that only one company figures among the top 100 participants in the overall ranking and only 9 among the top 200.

Table 4: Ranking of top 50 participant PRC organisations in FP7 signed grant agreements in terms of counts of participations for the period 2007-2010.

PRC RANK	OVERALL RANK	COMPANY NAME	COUNTRY	SME STATUS
1	99	TELEFONICA INVESTIGACION Y DESARROLLO SA	ES	N
2	112	SIEMENS AG	DE	N
3	127	SAP AG	DE	N
4	129	EADS DEUTSCHLAND GMBH	DE	N
5	134	ATOS ORIGIN SA	ES	N
6	138	PHILIPS ELECTRONICS NEDERLAND BV	NL	N
7	175	THALES COMMUNICATIONS SA	FR	N
8	185	D'APPOLONIA SPA	IT	N
9	199	STMICROELECTRONICS SRL	IT	N
10	208	ACCIONA INFRAESTRUCTURAS SA	ES	N
11	215	ELECTRICITE DE FRANCE SA	FR	N
11	215	FRANCE TELECOM SA	FR	N
13	249	VOLVO TECHNOLOGY AB	SE	N
14	258	AIRBUS OPERATIONS SAS	FR	N
15	266	INFINEON TECHNOLOGIES AG	DE	N
16	275	ELSAG DATAMAT SPA	IT	N
17	282	IBM ISRAEL - SCIENCE AND TECHNOLOGY LTD	IL	N
18	296	ALMA CONSULTING GROUP SAS	FR	N
18	296	CENTRE DE RECERCA I INVESTIGACIO DE CATALUNYA SA	ES	Y
20	311	ROBERT BOSCH GMBH	DE	N
21	328	ALENIA AERONAUTICA SPA	IT	N
21	328	NEC EUROPE LTD	UK	N
23	341	BASF SE	DE	N
23	341	VOLKSWAGEN AG	DE	N
23	341	ROLLS ROYCE PLC	UK	N
26	351	USTAV JADERNEHO VYZKUMU REZ AS	CZ	N
26	351	SNECMA SA	FR	N
28	367	GREEK RESEARCH AND TECHNOLOGY NETWORK SA	EL	N
28	367	TELECOM ITALIA SPA	IT	N
28	367	ALCATEL-LUCENT DEUTSCHLAND AG	DE	N
31	386	IBM RESEARCH GMBH	CH	N
31	386	DASSAULT AVIATION SA	FR	N
31	386	THALES SA	FR	N
31	386	ARTTIC	FR	Y
31	386	ENGINEERING - INGEGNERIA INFORMATICA SPA	IT	N
36	401	ERICSSON AB	SE	N
37	433	SINGULARLOGIC AE	EL	N
38	456	BRITISH TELECOMMUNICATIONS PLC	UK	N
38	456	TXT E-SOLUTIONS SPA	IT	N
38	456	NOKIA OYJ	FI	N
38	456	INRA TRANSFERT SA	FR	N
38	456	DEUTSCHE TELEKOM AG	DE	N
38	456	ISTITUTO EUROPEO DI ONCOLOGIA SRL	IT	N
44	484	QINETIQ LTD	UK	N
44	484	PTV PLANUNG TRANSPORT VERKEHR AG	DE	N
44	484	RENAULT SAS represented by GIE REGIENOV	FR	N
44	484	EADS FRANCE SAS	FR	N
48	515	LABOR SRL	IT	Y
48	515	DAIMLER AG	DE	N
48	515	BAYER TECHNOLOGY SERVICES GMBH	DE	N
48	515	INTEL PERFORMANCE LEARNING SOLUTIONS LTD	IE	N
48	515	EURESCOM GMBH	DE	N
48	515	DET NORSKE VERITAS AS	NO	N
48	515	EUROPEAN ROAD TRANSPORT TELEMATICS IMPLEMENTATION COORDINATION ORGANISATION SCRL	BE	Y
48	515	AVIO SPA	IT	N
48	515	ALCATEL - LUCENT BELL LABS FRANCE	FR	N

SME participation

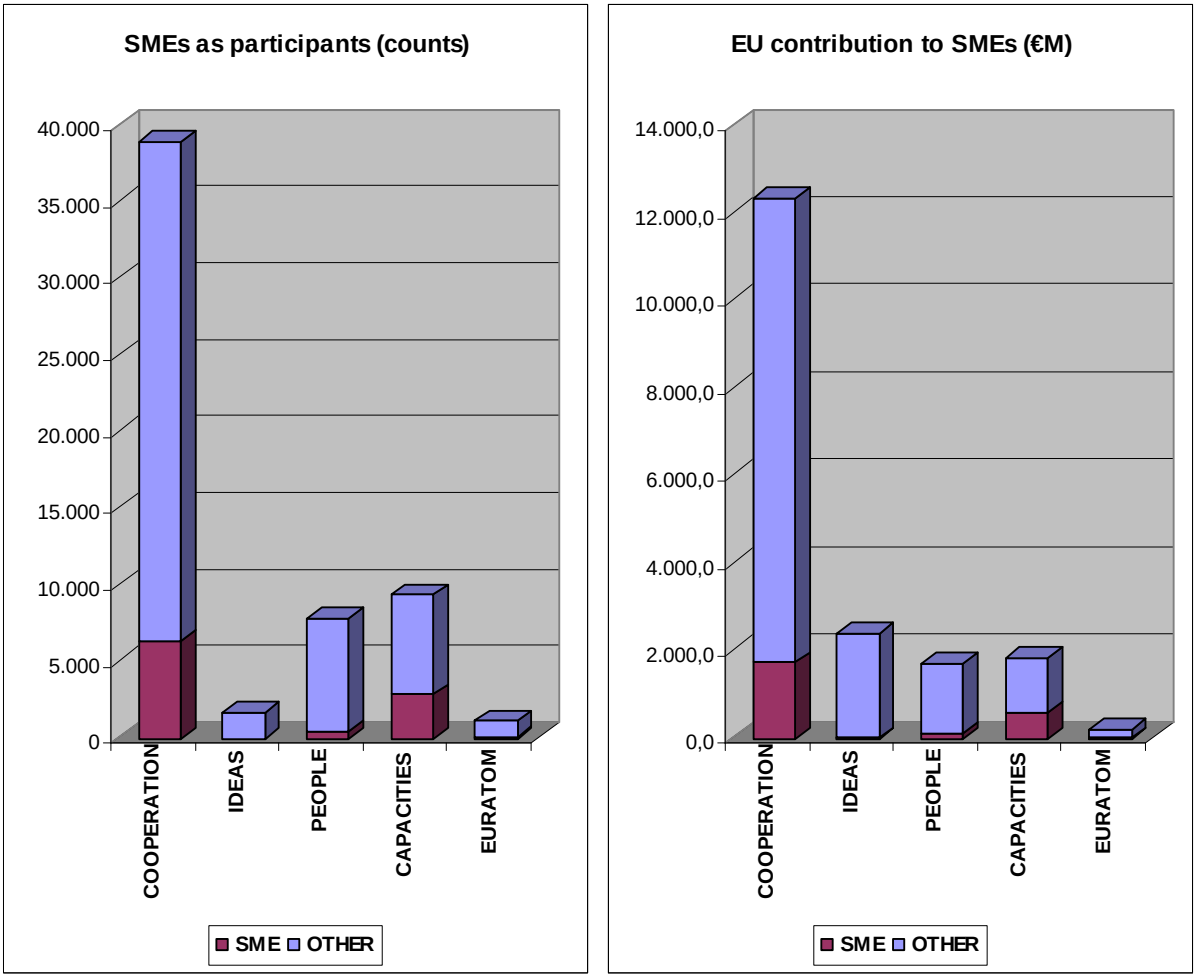
Due to the well-known limitations of the statistical data on SMEs in submitted, included and retained proposals, the figures provided in this report are drawn from data on signed grant agreements corresponding to concluded calls with call closure date from 2007 to 2010 as recorded in CORDA.

During the period 2007-2010 of FP7 implementation SMEs represented 16,6% of all participations in signed grant agreements, and their share of total project costs and requested EU contribution was 13,3% (€ 3,3 billion) and 13,2% (€ 2,4 billion) respectively.

In the Specific Programme Cooperation SMEs represent 16,4% of participations and receive 14,0% of EU funding (see Figure 10 below and Table B4 in annex B). A more detailed analysis of SME participation under Cooperation Programme and the 15% target is presented in Section 4.9.

About two thirds (65,4%) of all SMEs that participate in signed grant agreements are under the Specific Programme Cooperation, and 29,2% of them are under the Specific Programme Capacities. Their presence in the Specific Programmes Euratom and Ideas is very low, though varying significantly in the latter depending on the Marie Curie Action.

Figure 10: Share of SMEs in terms of numbers of participants and amounts of EU financial contribution in grant agreements corresponding to FP7 calls concluded in 2007, 2008, 2009 and 2010.



Top SME participants

66% of FP7 participants in grant agreements for the period 2007-2010 have only a single participation in FP7, while 95% have less than 10. For SMEs, 77,8% of participants have a

single participation, while 99,5% have less than 10, with only 32 SMEs, a slim 0,5%, having more than 10 participations.

The average EU contribution to SMEs per participation is € 249.607, which is about three quarters of the average EU contribution per non-SME participation (€ 326.443).

Table 5 below presents the general and the within-group rankings of the 20 private-for-profit SMEs with the highest numbers of participations in FP7 signed grant agreements during the period 2007-2010.

Table 5: Ranking of top 20 SME (PRC) participant organisations in FP7 signed grant agreements in terms of counts of participations for the period 2007-2010.

SME RANK	OVERALL RANK	COMPANY NAME	COUNTRY
1	296	CENTRE DE RECERCA I INVESTIGACIO DE CATALUNYA SA	ES
2	386	ARTTIC	FR
3	515	LABOR SRL	IT
3	515	EUROPEAN ROAD TRANSPORT TELEMATICS IMPLEMENTATION COORDINATION ORGANISATION SCRL	BE
5	548	GEIE ERCIM	FR
6	617	ISLENSK ERFDAGREINING EHF	IS
6	617	SIGMA ORIONIS	FR
6	617	ISTITUTO DI STUDI PER L'INTEGRAZIONE DEI SISTEMI (ISIS)	IT
6	617	CF CONSULTING FINANZIAMENTI UNIONE EUROPEA SRL	IT
6	617	ATHENS TECHNOLOGY CENTER SA	EL
11	667	STARLAB BARCELONA SL	ES
11	667	INNOVACIO I RECERCA INDUSTRIAL I SOSTENIBLE SL	ES
11	667	INNOVA SPA	IT
14	722	INOVAMAIS - SERVICOS DE CONSULTADORIA EM INOVACAO TECNOLOGICA SA	PT
14	722	PROFACTOR GMBH	AT
14	722	MFKK FELTALALOI ES KUTATO KOZPONT SZOLGALTATO KFT	HU
14	722	GABO:MI GESELLSCHAFT FUER ABLAUFORGANISATION:MILLIARIUM MBH & CO KG GAB O	DE
18	778	INASCO - INTEGRATED AEROSPACE SCIENCES CORPORATION OE	EL
18	778	TIS PT, CONSULTORES EM TRANSPORTES, INOVACAO E SISTEMAS, SA	PT
18	778	VERMON SA	FR

2.4 International and regional dimensions of FP7

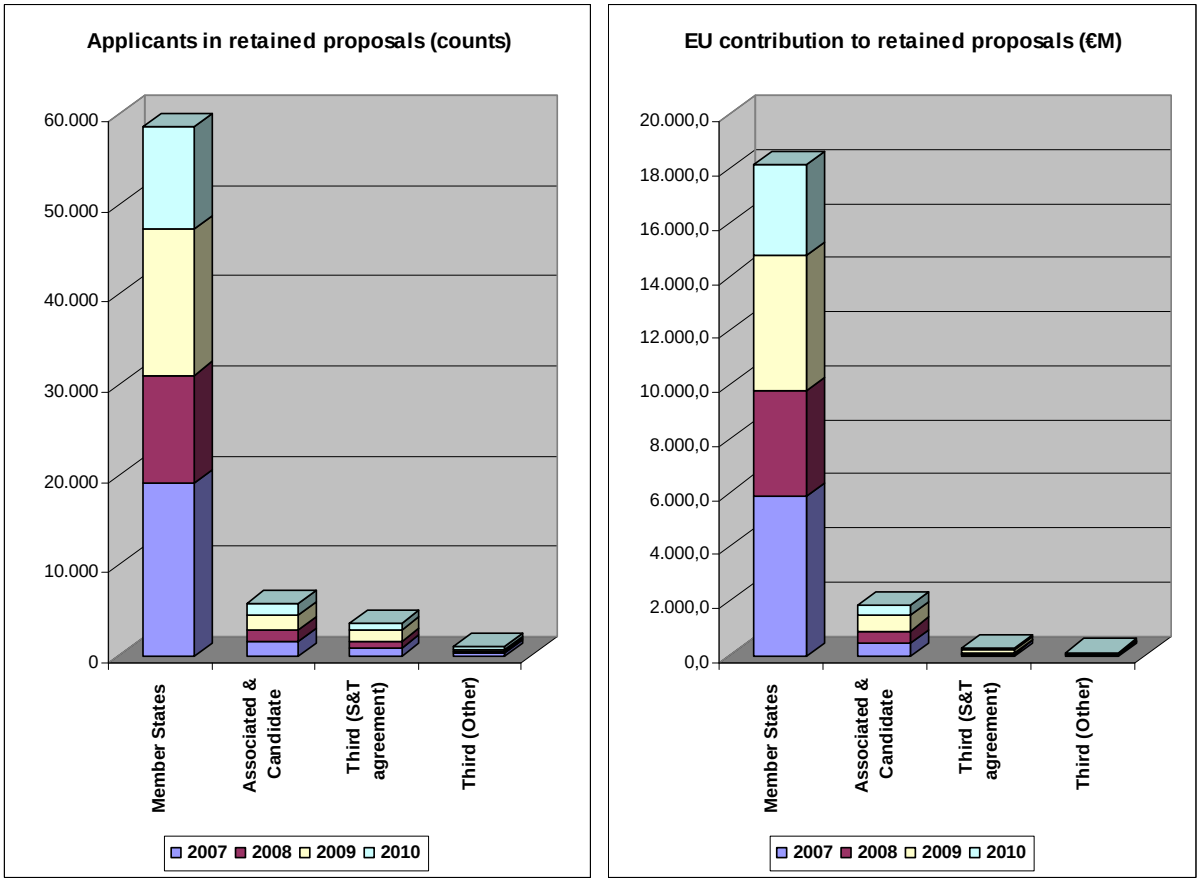
The Framework Programme by conception is a collaborative programme with global outreach open to all researchers and research organisations irrespective of their country of origin. During its first four years of implementation FP7 has attained unprecedented levels of international participation by involving researchers in retained proposals from as many as 169 countries from all continents.

For analytical and comparative purposes participating countries are conventionally grouped in this section in four groups, namely EU Member States, Candidate and Associated Countries, Third Countries with Science and Technology (S&T) agreements, and other Third Countries. It should be emphasised that these groups are largely heterogeneous in terms of the socio-economic characteristics and the scientific and technological capacities of their members, as well as in terms of their FP7 participation levels and performance.

For detailed statistical figures on participation by country or group of countries see Table B3 in Annex B.

Figure 11 below shows the shares of each of the above groups of countries in applicants and requested EU financial contribution.

Figure 11: Numbers of applicants and amounts of requested EU financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007, 2008, 2009 and 2010 by country group.



2.4.1 EU Member States

Figures 12, 13 and 14 below present the numbers of applicants from the EU27 Member States and the amounts of requested EU financial contribution in retained proposals, the corresponding success rates as well as the amounts of EU contribution per applicant in calls with closure date in 2007-2010.

Figure 12: Average success rates of EU27 applicants and requested EU financial contribution for FP7 calls concluded during the period 2007-2010 by country.

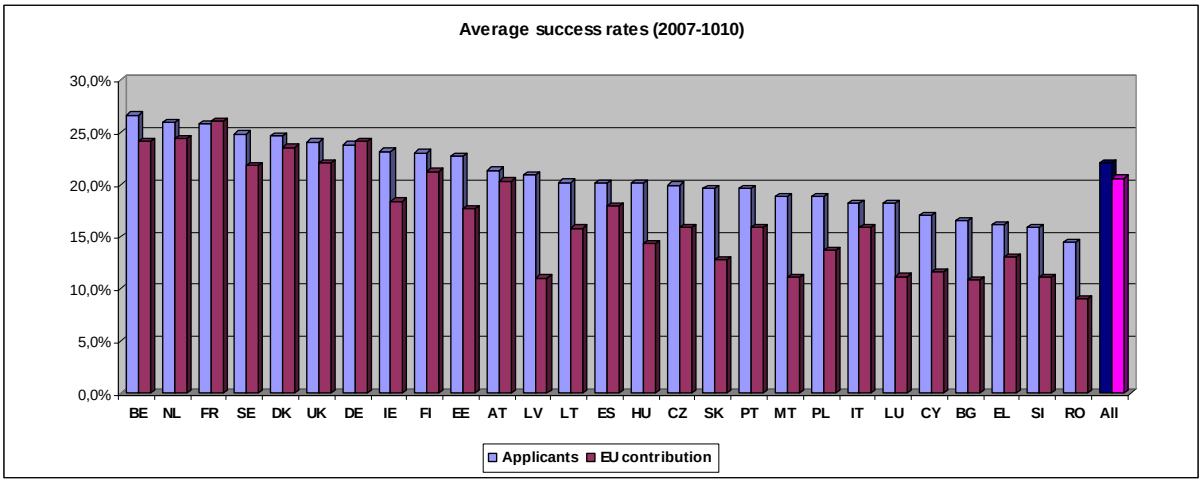


Figure 13: Numbers of EU27 applicants and requested EU financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007, 2008, 2009 and 2010 by country.

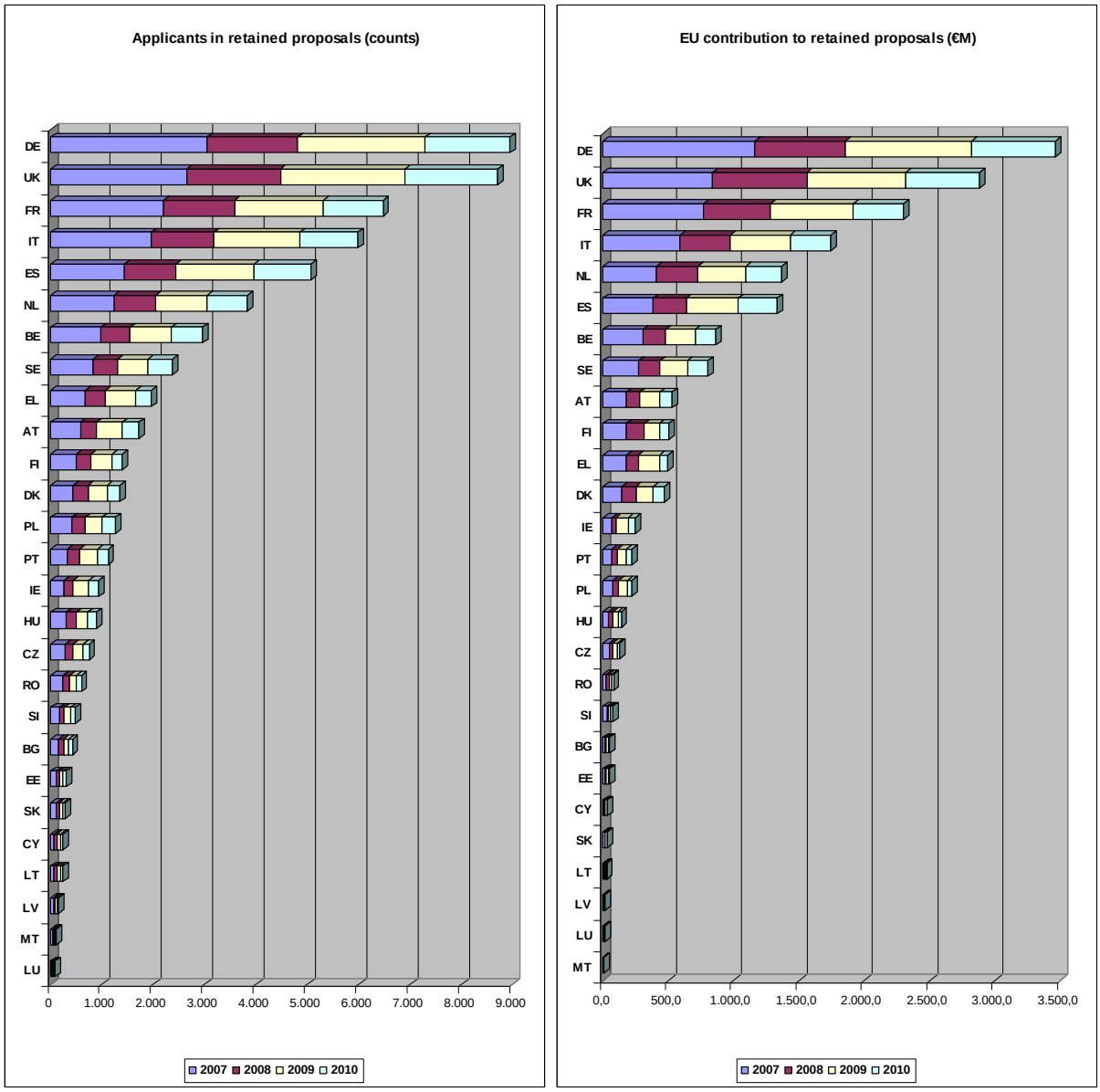


Figure 14: Requested EU financial contribution per applicant (in € thousand) in retained proposals for FP7 calls concluded in 2007, 2008, 2009 and 2010 by country.

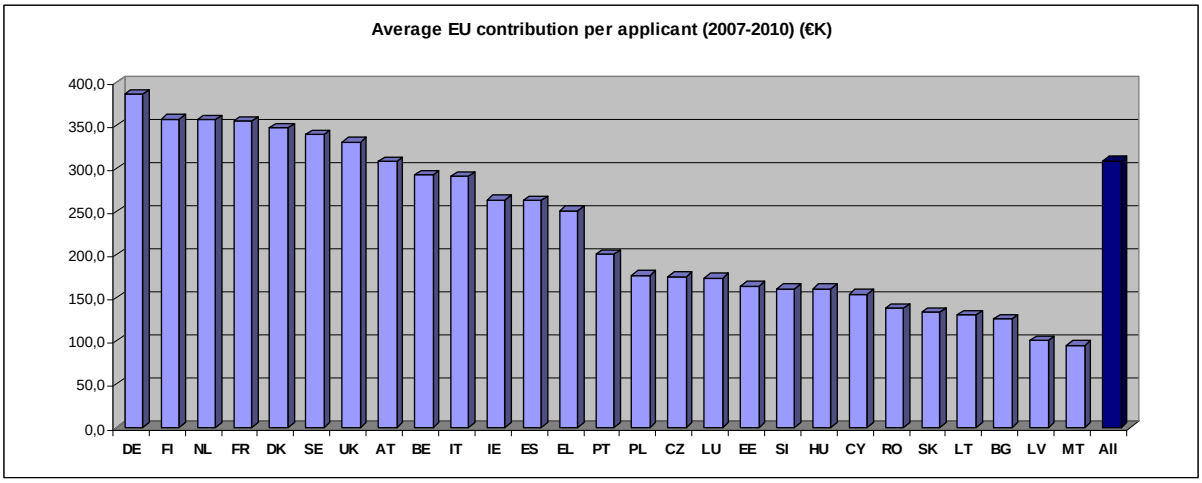
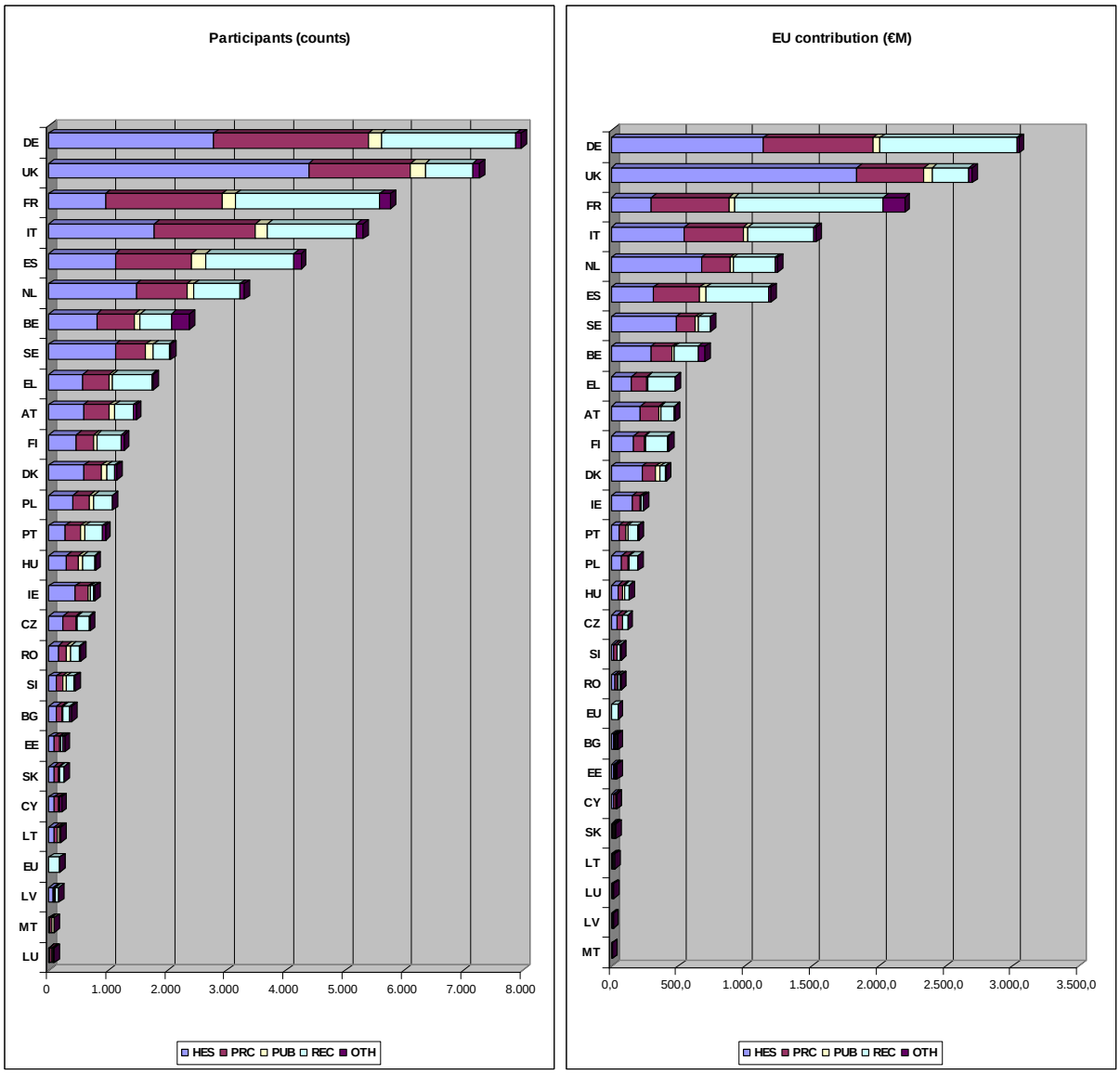


Figure 15 below presents the numbers of EU27 Member State participants and the corresponding amounts of EU financial contribution in FP7 signed grand agreements during the period 2007-2010 by type of participant organisation.

Figure 15: Numbers of participants and amounts of EU financial contribution (in € million) in signed grant agreements for FP7 calls concluded during the period 2007-2010 by country and type of organisation.



Figures 16, 17, 18, 19 and 20 present the numbers of EU27 Member State participants and the corresponding amounts of EU financial contribution in FP7 signed grand agreements during the period 2007-2010 by thematic area.

Figure 16: Numbers of participants and amounts of EU financial contribution (in € million) in signed grant agreements for FP7 calls concluded during the period 2007-2010 by country and thematic area under the specific programme Cooperation.

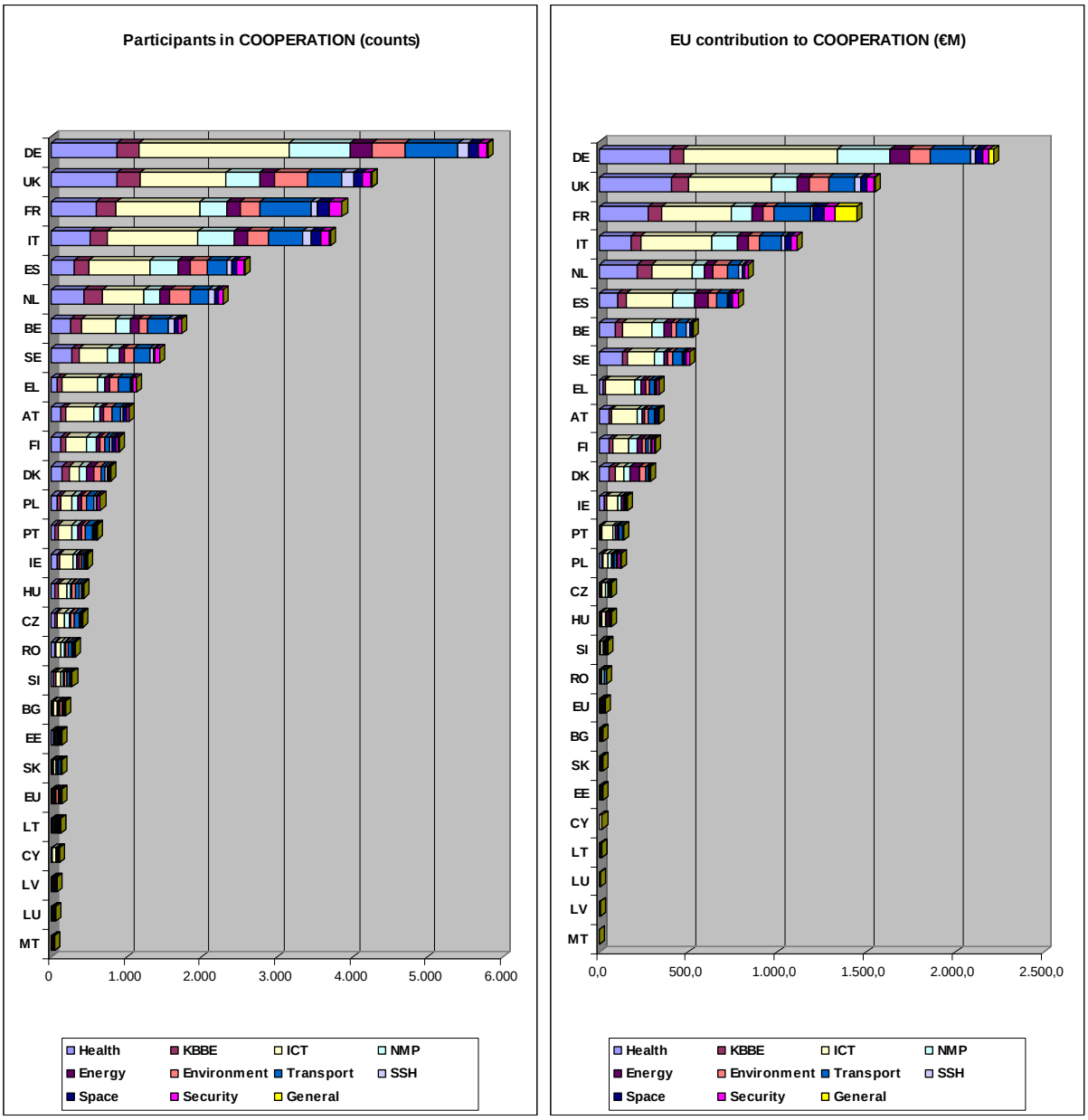


Figure 17: Numbers of participants and amounts of EU financial contribution (in € million) in signed grant agreements for FP7 calls concluded during the period 2007-2010 by country and thematic area under the specific programme Ideas (ERC).

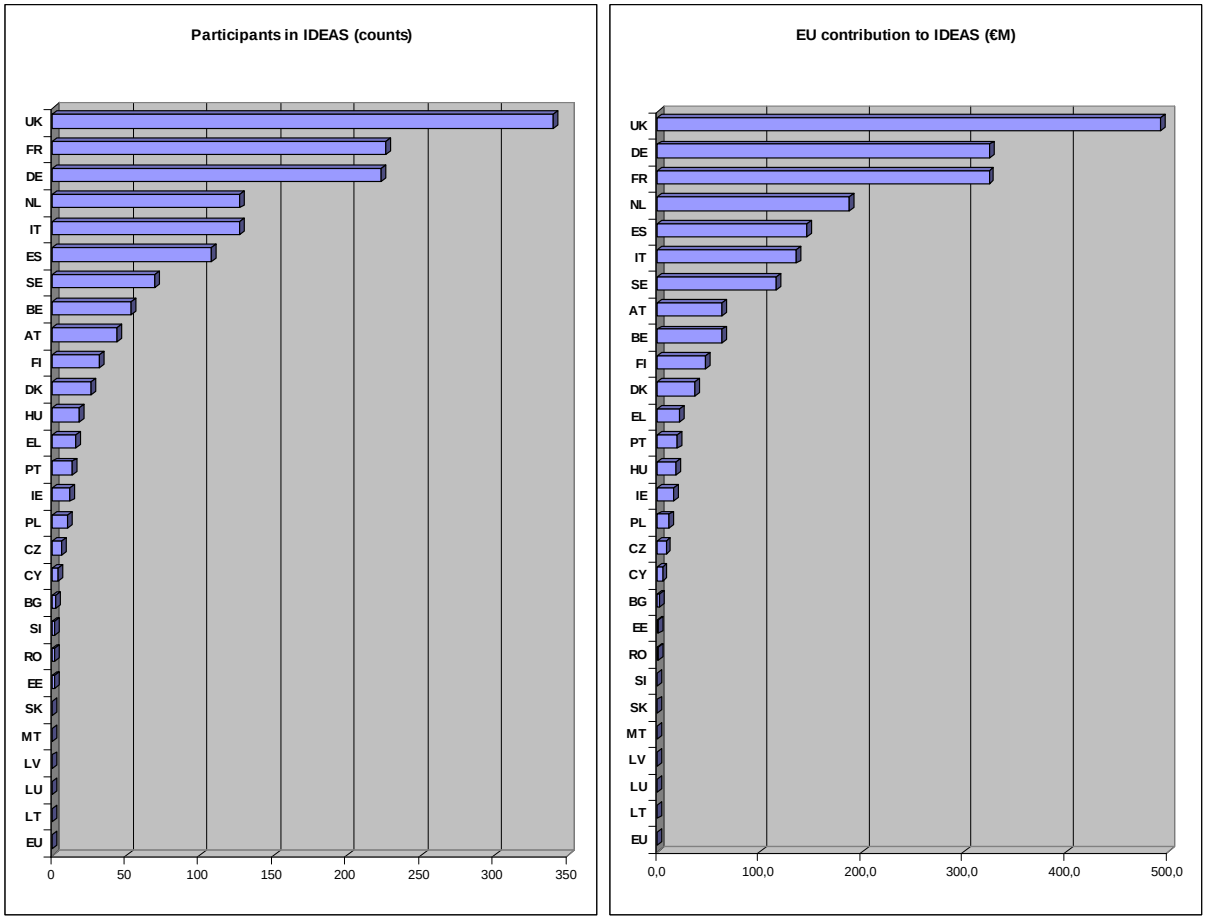


Figure 18: Numbers of participants and amounts of EU financial contribution (in € million) in signed grant agreements for FP7 calls concluded during the period 2007-2010 by country and thematic area under the specific programme People (Marie Curie Actions).

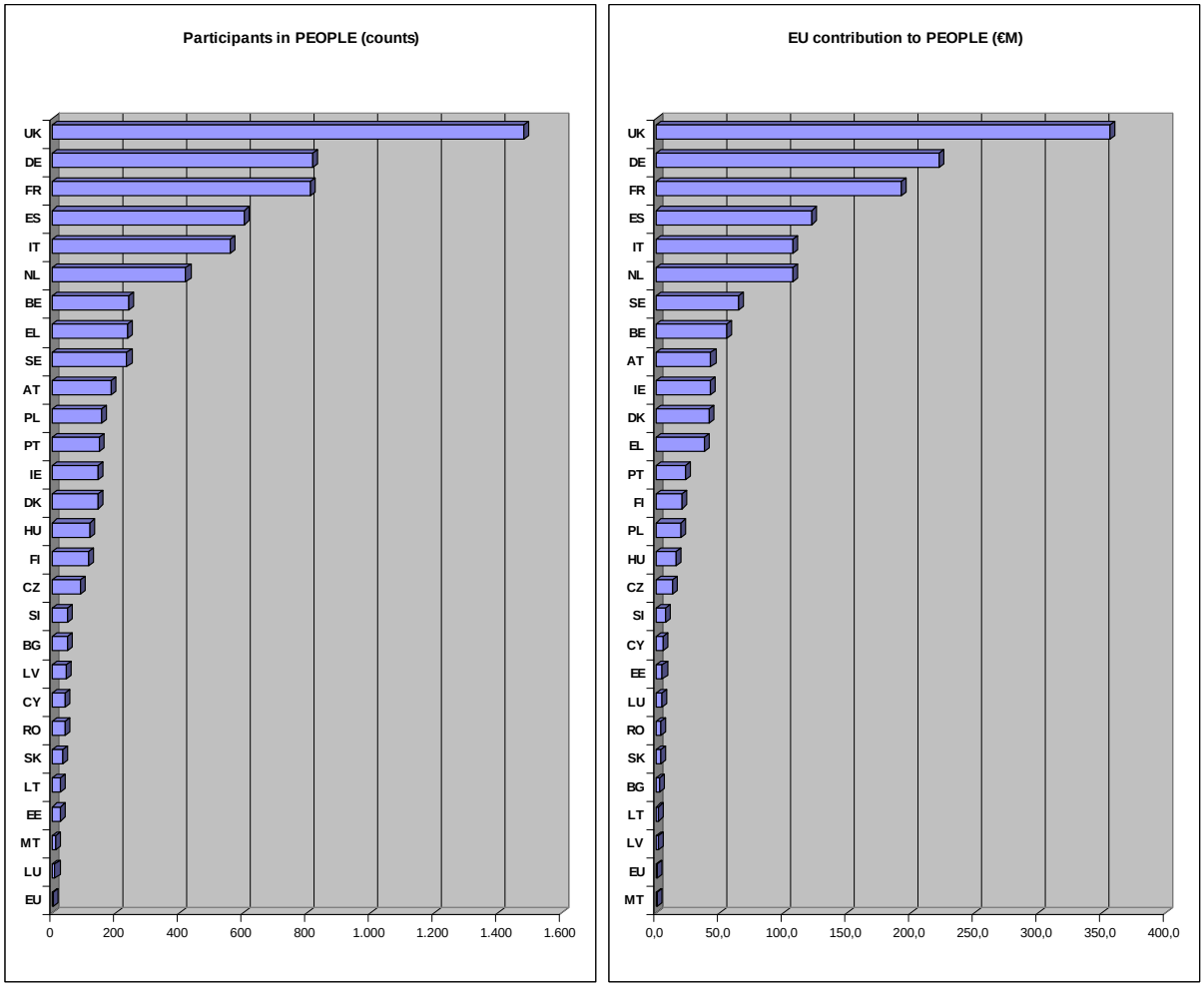


Figure 19: Numbers of participants and amounts of EU financial contribution (in € million) in signed grant agreements for FP7 calls concluded during the period 2007-2010 by country and thematic area under the specific programme Capacities.

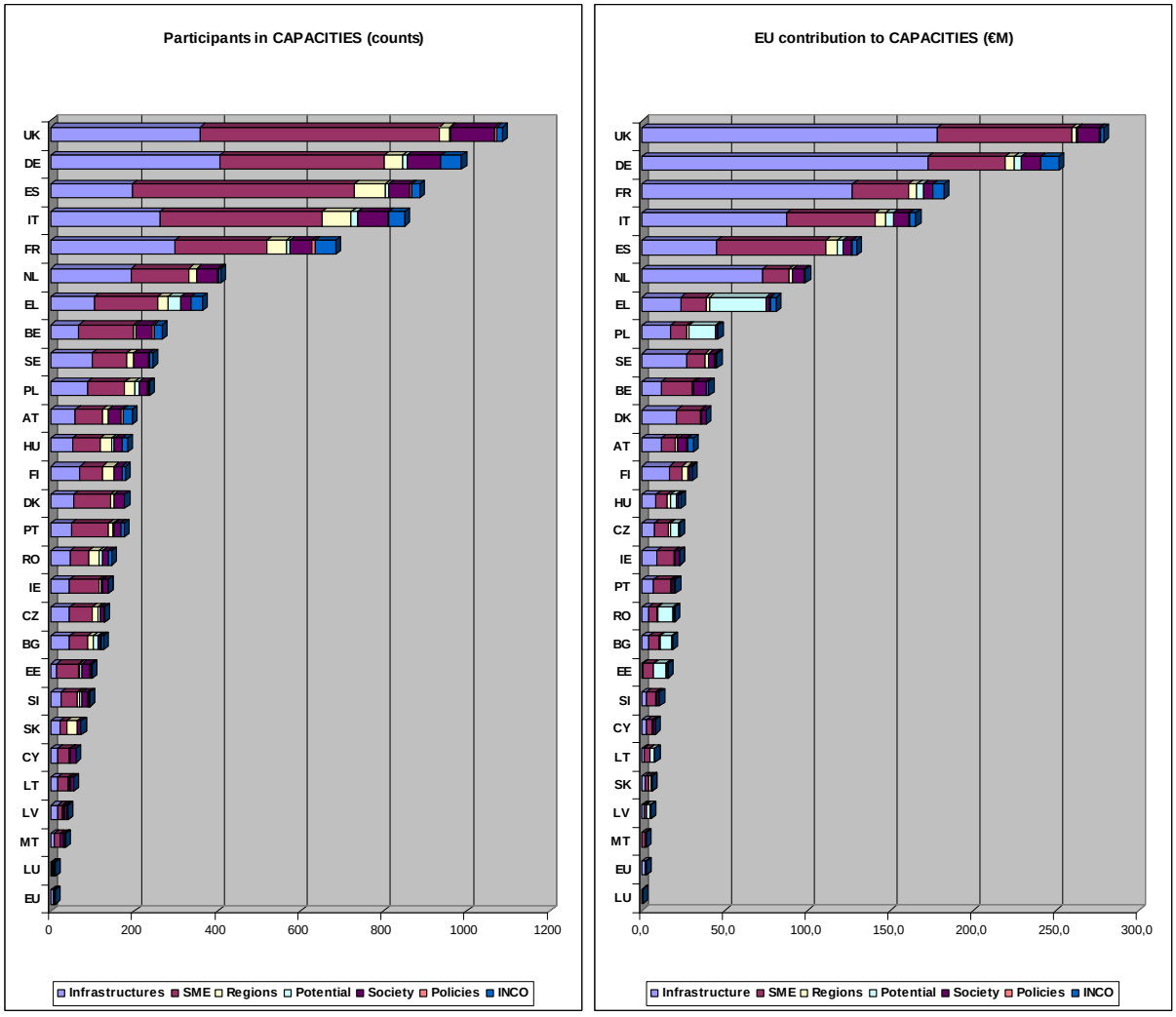
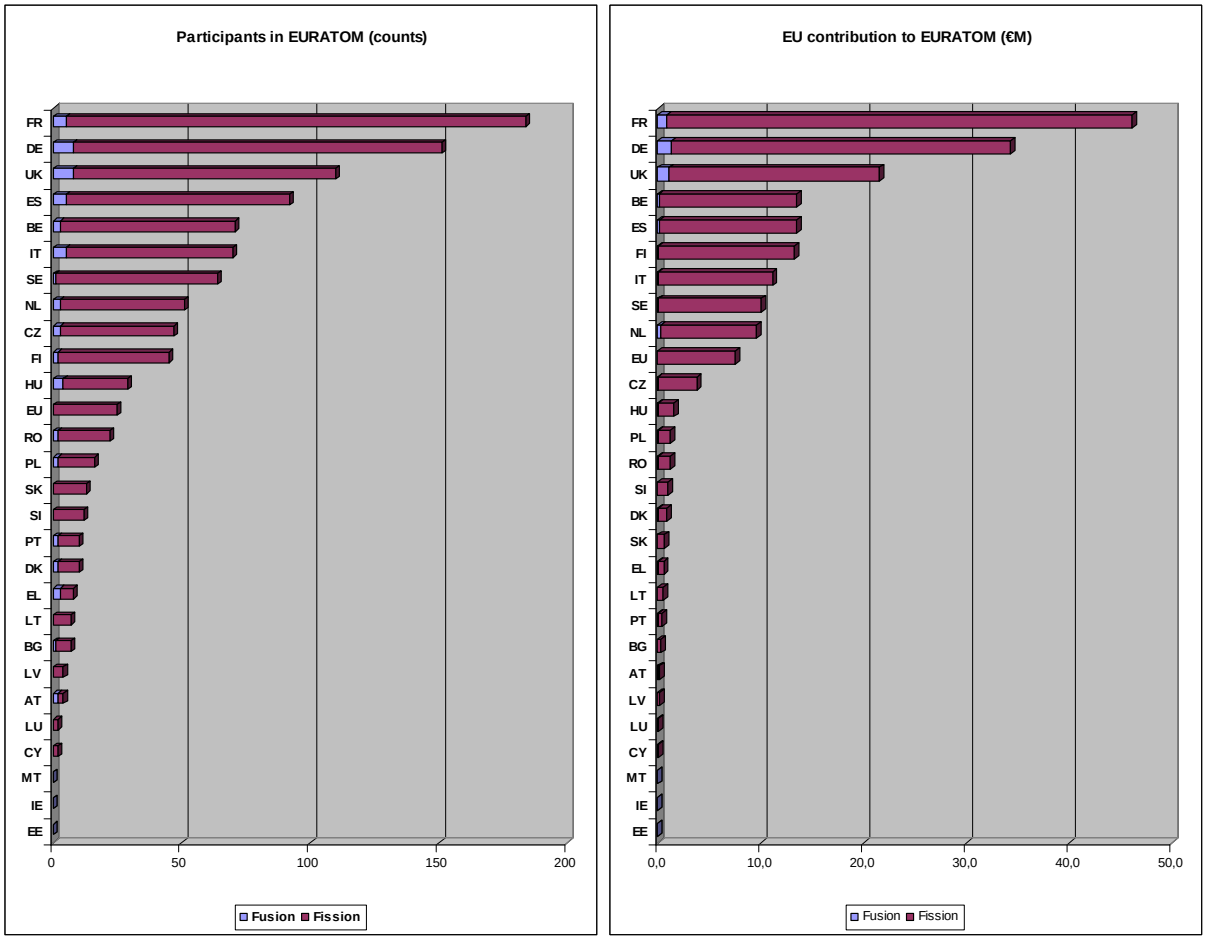


Figure 20: Numbers of participants and amounts of EU financial contribution (in € million) in signed grant agreements for FP7 calls concluded during the period 2007-2010 by country and thematic area under Euratom.



2.4.2 Candidate and Associated Countries

For FP7, the number of Associated Countries is as high as never before, with 13, mainly European countries, currently associated, including all of the Western Balkan States. This makes FP7 a true pan-European programme and strongly underpins the objective of building a wider ERA.

Candidate for accession and Associated Countries constitute a heterogeneous group[4], which in 2010 accounted for around 9% of the total number of applicants and amount of requested EU financial contribution in retained proposals, with corresponding success rates of 25,9% and 21,0% respectively – which are similar to those of EU27 Member States.

Figures 21, 22 and 23 present the situation in terms of numbers of applicants and requested EU contribution in retained proposals, the corresponding success rates, and EU contribution per applicant from Candidate and Associated Countries in the period 2007-2010.

[4] The Candidate and Associated Countries are Albania (AL), Bosnia-Herzegovina (BA), Croatia (HR), Faroe Islands, (FO) Former Yugoslav Republic of Macedonia (MK), Iceland (IS), Israel (IL), Liechtenstein (LI), Montenegro (ME), Norway (NO), Serbia (RS), Switzerland (CH), and Turkey (TR).

Figure 21: Numbers of applicants from candidate and associated countries and requested EU financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007, 2008, 2009 and 2010 by country.

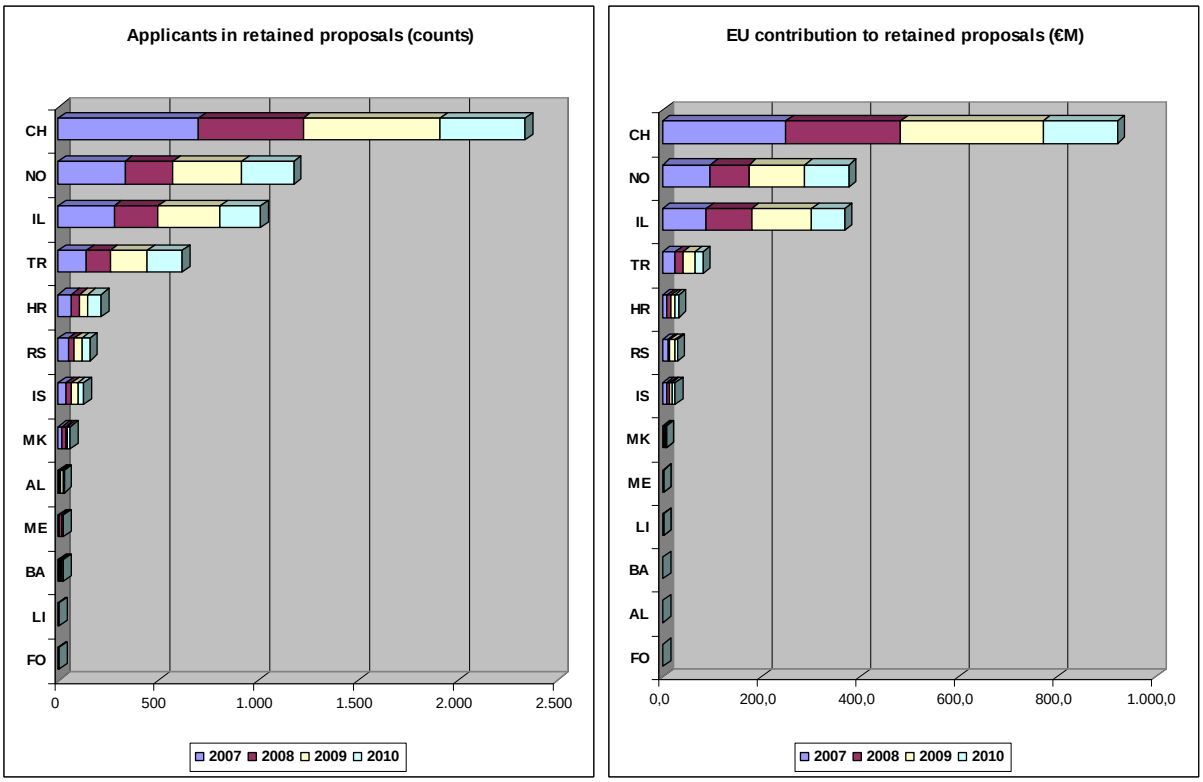


Figure 22: Average success rates of applicants from candidate and associated countries and of requested EU financial contribution for FP7 calls concluded during the period 2007-2010 by country.

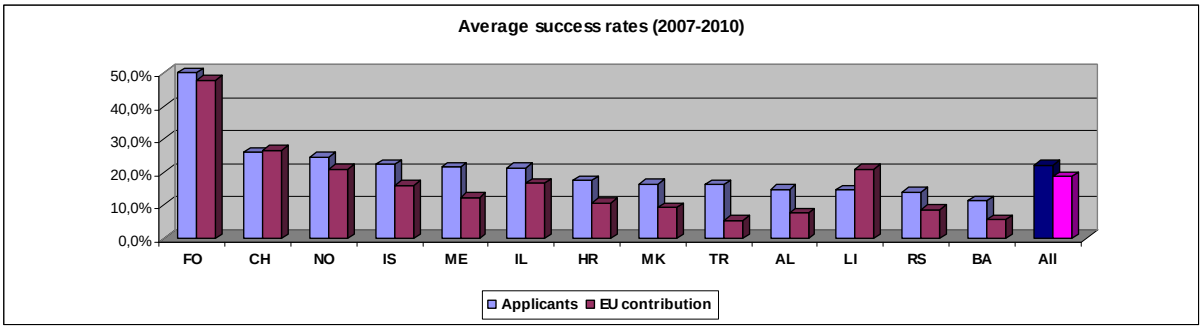
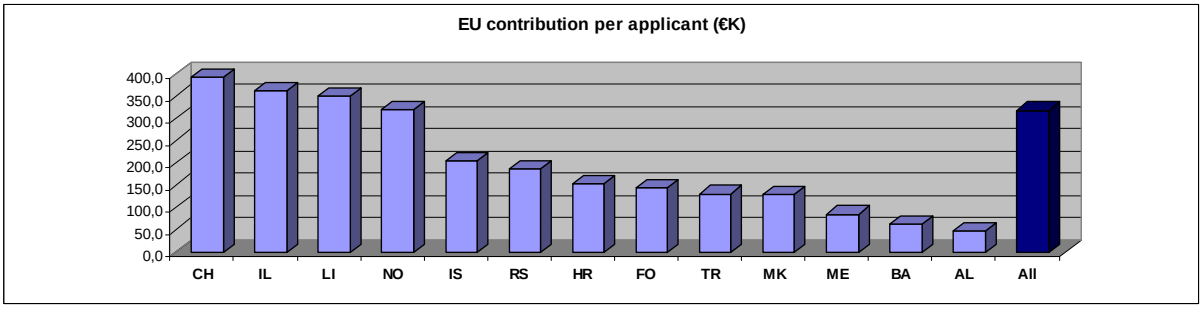


Figure 23: Requested EU financial contribution per applicant (in € thousand) in retained proposals for FP7 calls concluded in 2007, 2008 and 2009 for candidate and associated countries.



2.4.3 Third Countries

For FP7, a new approach towards international cooperation was developed, aiming to reinforce international research collaboration throughout the Framework Programme. Special instruments (SICA - Specific International Cooperation Actions, coordinated calls, twinning of projects, etc.) were established to implement these objectives allowing both geographical and thematic targeting[5]. In addition, a specific programme dedicated to international cooperation provides funding to support activities (INCO-NETs, BILATs, ERA-NETs int, NCP networks, etc.) designed to underpin the S&T policy dialogue and promote cooperation opportunities under FP7 for international partners.

International Cooperation activities are also reinforcing the external dimension of the European Research Area (ERA), particularly through the implementation of the Strategic European Framework for International S&T Cooperation[6] and the establishment of the Strategic Forum for International S&T Cooperation (SFIC), consisting of high-level representatives of Member States and the Commission. In 2010, SFIC contributed to further opening up the ERA through a broad range of activities[7].

In addition, the 'EURAXESS Links' initiative[8] (funded under the Specific Actions part of the *People* Programme) helps to maintain the link with European Researchers abroad to keep them updated on research policy, funding and cooperation opportunities in Europe, while reinforcing their role as catalysts to boost cooperation with their host countries (USA, Japan, China, Singapore and India).

This approach, together with the general opening of all activities to Third Country teams, has reinforced the international dimension of FP7, which has grown in volume and focus.

In 2010 there were 1.160 applicants from as many as 87 Third Countries with a total requested EU financial contribution of € 112,9 million in retained proposals and corresponding success rates of 21,5% and 17,4% respectively. These figures represent just 8,5% of the total number of applicants and 3% of the total amount of requested EU contribution in retained proposals.

19 Third Countries concluded with the European Union S&T cooperation agreements[9]. This group of countries includes all the industrialised and emerging economies and several developing countries. These countries accounted in 2010 for about three quarters (74,9%) of the total number of Third Country applicants and for 58% of the total requested EU contribution to Third Countries in retained proposals, with success rates of 24% and 17,7% respectively.

In terms of numbers of successful applicants the 10 biggest Third Country participants in 2010 have been (in descending order) the USA, China, Russia, Brazil, South Africa, India, Ukraine, Canada, Australia, and Egypt. In terms of EU financial contribution the 10 biggest

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[5] Further details, also on targeted opening activities, in: SEC (2007) 47 "A New Approach to International S&T Cooperation in the EU's 7th Framework Programme (2007-2013)", 12.01.2007.

[6] European Commission (2008): Communication "A strategic European Framework for International Science and Technology Cooperation". COM (2008) 588.

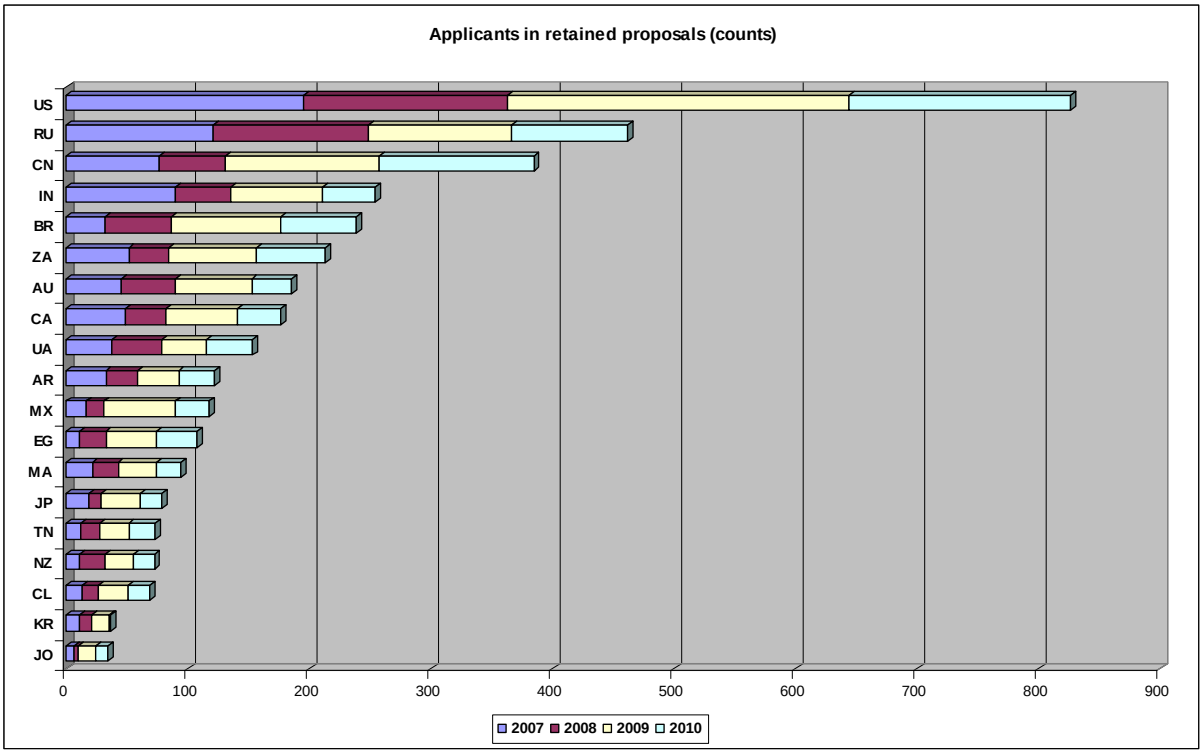
[7] See 2nd Report of Activities of SFIC (http://ec.europa.eu/research/era/docs/en/en-international-cooperation-14.pdf)

[8] http://ec.europa.eu/euraxess/links/index_en.htm

[9] Argentina (AR), Australia (AU), Brazil (BR), Canada (CA), Chile (CL), China (CN), Egypt (EG), India (IN), Japan (JP), Jordan (JO), Mexico (MX), Morocco (MA), New Zealand (NZ), Russia (RU), South Africa (ZA), South Korea (KR), Tunisia (TN), Ukraine (UA), United States (US).

beneficiaries (in descending order) have been the USA, South Africa, Russia, Brazil, China, Egypt, India, Mexico, Tunisia, and Ukraine. All of these countries have S&T agreements with the EU. Figures 24, 25 and 26 below present the situation of the 19 Third Countries with S&T agreements in terms of numbers of applicants and requested EU financial contribution (in € million) in retained proposals, the corresponding success rates and the EU financial contribution per applicant (in € thousand). The ranking is according to the cumulative performance of the countries during the period 2007-2010.

Figure 24: Numbers of applicants from third countries with S&T agreements and amounts of requested EU financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007, 2008, 2009 and 2010.



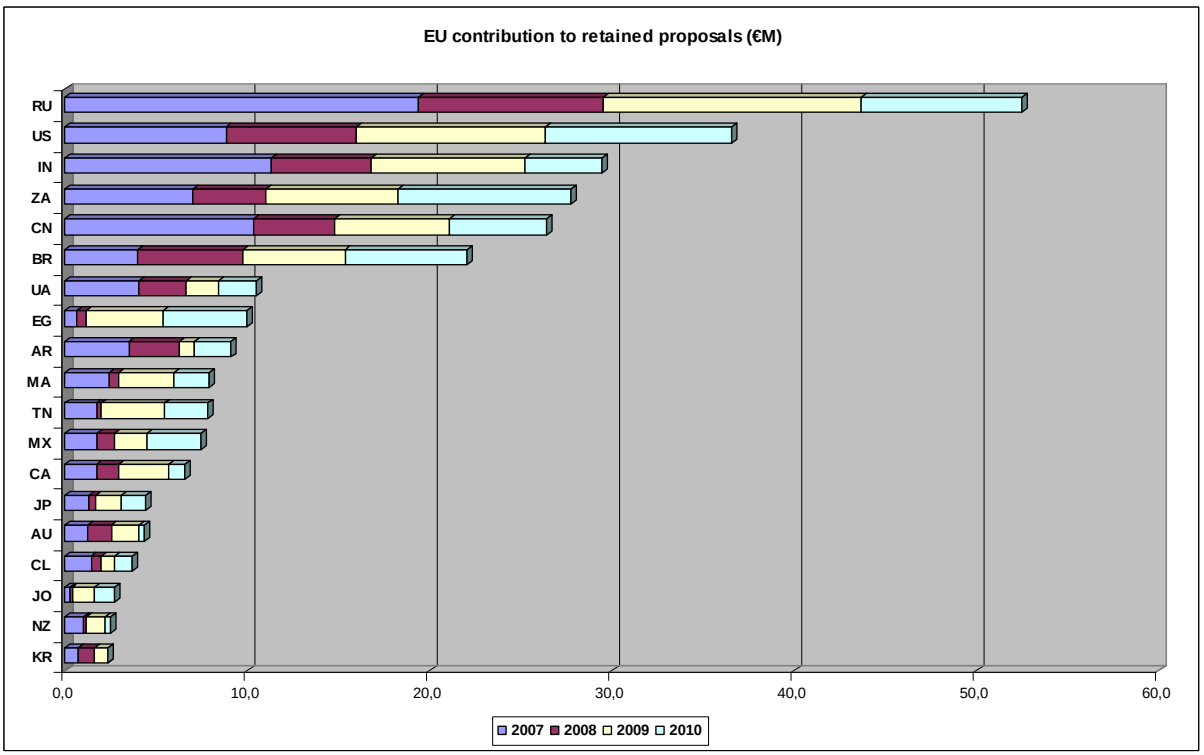


Figure 25: Success rates of applicants from third countries with S&T agreements and of requested EU financial contribution for FP7 calls concluded in 2007, 2008, 2009 and 2010.

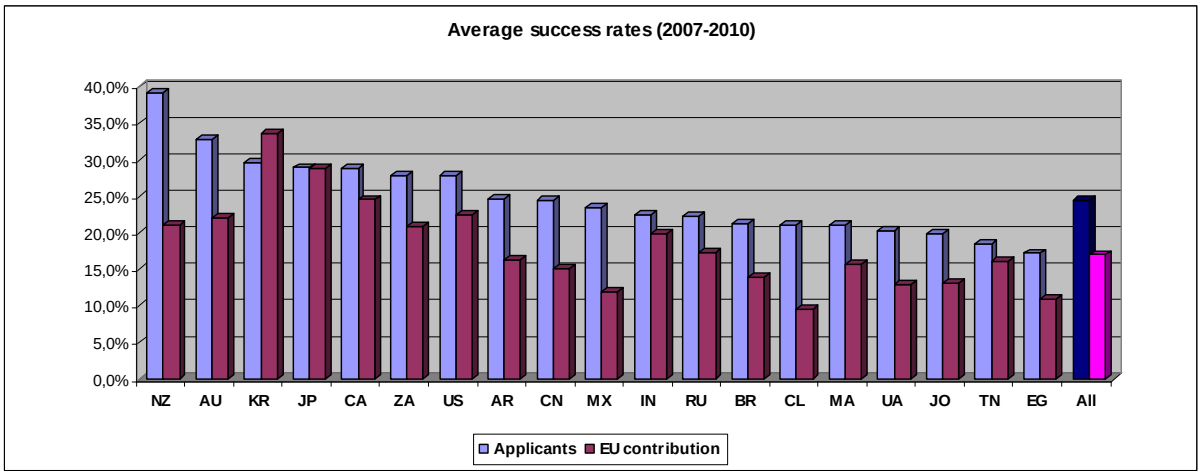
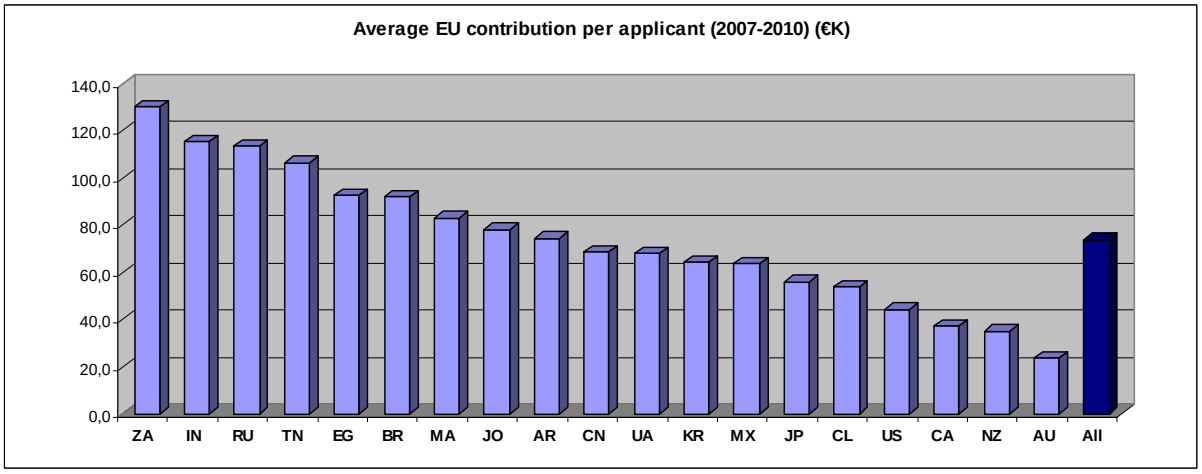


Figure 26: Requested EU financial contribution per applicant from third countries with S&T agreements (in € thousand) in retained proposals for FP7 calls concluded in 2007, 2008, 2009 and 2010.



2.4.4 Regional dimension

The European Union has developed a geocode standard for referencing the subdivisions of countries for statistical purposes. The Nomenclature of Nomenclature of Units for Territorial Statistics (NUTS) is instrumental, for instance, in European Union's Structural Fund delivery mechanisms. For each EU Member States, a hierarchy of three NUTS levels has been established[10]. It should be noted that the subdivisions in some levels do not necessarily correspond to administrative divisions within the country.

This report presents, for the first time, information on FP7 participation by European regions, based on NUTS2 regions identified in CORDA.

Top 50 regions as participants

There are currently 268 NUTS2 EU27 regions recorded in CORDA, covering 98,5% of the total EU (the remaining being participations not attributed to a specific region, at the national level), so coverage is complete and reliable.

[10] http://epp.eurostat.ec.europa.eu/portal/page/portal/nuts_nomenclature/introduction

Table 6 below presents the ranking of the top 50 EU27 NUTS2 regions in terms of participation counts and EU contribution in signed grant agreements for the period 2007-2010.

Table 6: Ranking of top 50 EU27 NUTS2 regions in terms of counts of participations in FP7 signed grant agreements and in terms of EU contribution for the period 2007-2010.

RANK BY PARTICIPATION COUNTS	RANK BY EU CONTRIBUTION	CODE	NAME	PARTICIPATION COUNTS	EU CONTRIBUTION (€M)
1	1	FR10	Île de France	3926	1.554,61
2	2	DE21	Oberbayern	1638	716,86
3	3	UKI1	Inner London	1606	647,49
4	4	ES30	Comunidad de Madrid	1450	425,04
5	5	ITE4	Lazio	1405	400,08
6	8	ES51	Cataluña	1088	340,42
7	9	ITC4	Lombardia	1038	335,69
8	14	EL30	Attiki	1029	291,45
9	6	FI18	Etelä-Suomi	988	350,28
10	7	NL33	Zuid-Holland	969	343,60
11	22	BE10	Région de Bruxelles-Capitale / Brussels Hoofdstede	887	198,95
12	10	DEA2	Köln	873	327,49
13	11	SE11	Stockholm	796	320,21
14	17	AT13	Wien	762	238,50
15	16	DK01	Hovedstaden	734	259,51
16	12	DE12	Karlsruhe	674	316,88
17	15	NL32	Noord-Holland	666	274,95
18	13	UKJ1	Berkshire, Buckinghamshire and Oxfordshire	654	307,60
19	20	IE02	Southern and Eastern	641	204,72
20	21	DE30	Berlin	592	203,28
21	39	HU10	Kozep-Magyarorszag	580	104,09
22	19	BE24	Prov. Vlaams-Brabant	565	218,05
23	18	UKH1	East Anglia	531	219,89
24	37	PT17	Lisboa	512	116,44
25	29	ES21	País Vasco	510	144,64
26	28	ITE1	Toscana	509	147,82
27	23	NL22	Gelderland	498	189,51
28	31	ITC1	Piemonte	480	130,46
29	50	PL12	Mazowieckie	469	83,40
30	35	FR71	Rhône-Alpes	468	123,71
31	25	SE23	Västsverige	453	162,48
32	26	UKK1	Gloucestershire, Wiltshire and Bristol/Bath area	421	157,97
33	36	ITD5	Emilia-Romagna	406	120,66
34	30	DE11	Stuttgart	391	133,95
35	67	SI02	Zahodna Slovenija	380	64,18
36	58	CZ01	Praha	379	71,32
37	33	SE12	Östra Mellansverige	369	126,10
37	27	UKM2	Eastern Scotland	369	148,10
39	32	NL41	Noord-Brabant	339	129,10
40	54	ES52	Comunidad Valenciana	330	76,06
41	34	NL31	Utrecht	320	123,78
42	41	DE71	Darmstadt	306	96,59
43	92	RO32	Bucuresti - Ilfov	299	38,00
44	38	BE23	Prov. Oost-Vlaanderen	289	106,84
44	96	BG41	Yugozapaden	289	34,38
46	42	UKJ2	Surrey, East and West Sussex	283	96,19
47	49	FR82	Provence-Alpes-Côte d'Azur	276	84,40
48	61	ITD3	Veneto	263	67,62
49	88	EE00	Eesti	260	41,50
50	52	ITC3	Liguria	258	77,24

2.5 Women participation and the gender dimension in FP7

In 1999, early in FP5, the Commission adopted a Communication in which it undertook the commitment to develop a coherent approach towards promoting women in research financed by the European Communities[11]. The Commission's stated aim was to achieve at least a 40% representation of women in Marie Curie fellowships, Advisory Groups, Assessment Panels and Monitoring Panels of FP5. This target was subsequently expanded to include all groups, panels, committees and projects involved in the Framework Programmes. The 40% target remained in place for FP6 and is currently also valid for FP7.

2.5.1 Patterns of women participation in FP7 projects

The CORDA database contains data on individuals with assigned *contact person* roles for each of the organisations which participate in FP7 funded projects, for which grant agreements have already been signed. This data includes gender identity. In the thematic area *Information and Communication Technologies* data of this type is recorded in the CORDA database only for the 'Contact Person' role.[12]

At the moment of data extraction (March 2011) the database contained an estimated total of 173.414 individuals from EU27 participant organisations with assigned contact person roles, whose gender identity has been registered in the database, of which 47.055, or 27,1%, were women. Of all individuals with assigned contact person roles in coordinator organisations, 31,1% (11.919) are women; in participant (non-coordinating) organisations the corresponding share of women is 26,0% (35.136).

About a fifth (20,3%) of all individuals characterised as *contact person for scientific aspects* in signed grant agreements are women. Women represent more than a third (38,3%) of individuals in the category *fellow*, which corresponds to the specific programme People (Marie Curie Actions), and more than a fifth (21,2%) of individuals in the category *principal investigator*, which corresponds to lead scientists in ERC grant agreements (specific programme Ideas). Table 7 below presents a detailed breakdown of this data.

Table 7: Gender of individual participants with contact person roles in signed grant agreements from FP7 calls concluded during the period 2007-2010 by individual role and role of participant organisation in the project.

ROLE	COORDINATOR			PARTICIPANT			ALL		
	F	M	% F	F	M	% F	F	M	% F
Contact Person	3.722	4.944	42,9%	12.944	23.279	35,7%	16.666	28.223	37,1%
Contact Person for Scientific Aspects	1.280	5.318	19,4%	6.302	24.365	20,5%	7.582	29.683	20,3%
Principal Investigator	277	1.030	21,2%	-	-	-	277	1.030	21,2%
Fellow	1.490	2.430	38,0%	723	1.132	39,0%	2.213	3.562	38,3%
Contact Person for Legal Aspects	2.177	2.492	46,6%	6.500	9.739	40,0%	8.677	12.231	41,5%
First Administrative Officer	1.611	6.482	19,9%	4.531	27.412	14,2%	6.142	33.894	15,3%
Secondary Administrative Officer	1.362	3.696	26,9%	4.136	14.040	22,8%	5.498	17.736	23,7%
TOTAL	**11.919**	**26.392**	**31,1%**	**35.136**	**99.967**	**26,0%**	**47.055**	**126.359**	**27,1%**

[11] European Commission (1999): Communication "Women and Science: Mobilising women to enrich European research", COM(1999)76. Brussels.

[12] This is due to differences in the reporting format of the contract management systems used by the different Commission services: DG RTD and DG ENTR use the Contract and Project Management (CPM) Module, while DG INFSO uses the Phoenix Contract Management Application.

Figures 27 and 28 present the participation shares of women in contact person roles in FP7 signed grant agreements from 2007 to 2010 by country of origin of the participating organisation, for the group of EU27 Member States.

Figure 27: Participation share of women from project participant and project coordinator organisations in contact person and contact person for scientific aspects roles in FP7 signed grant agreements during the period 2007-2010 by EU27 Member State.

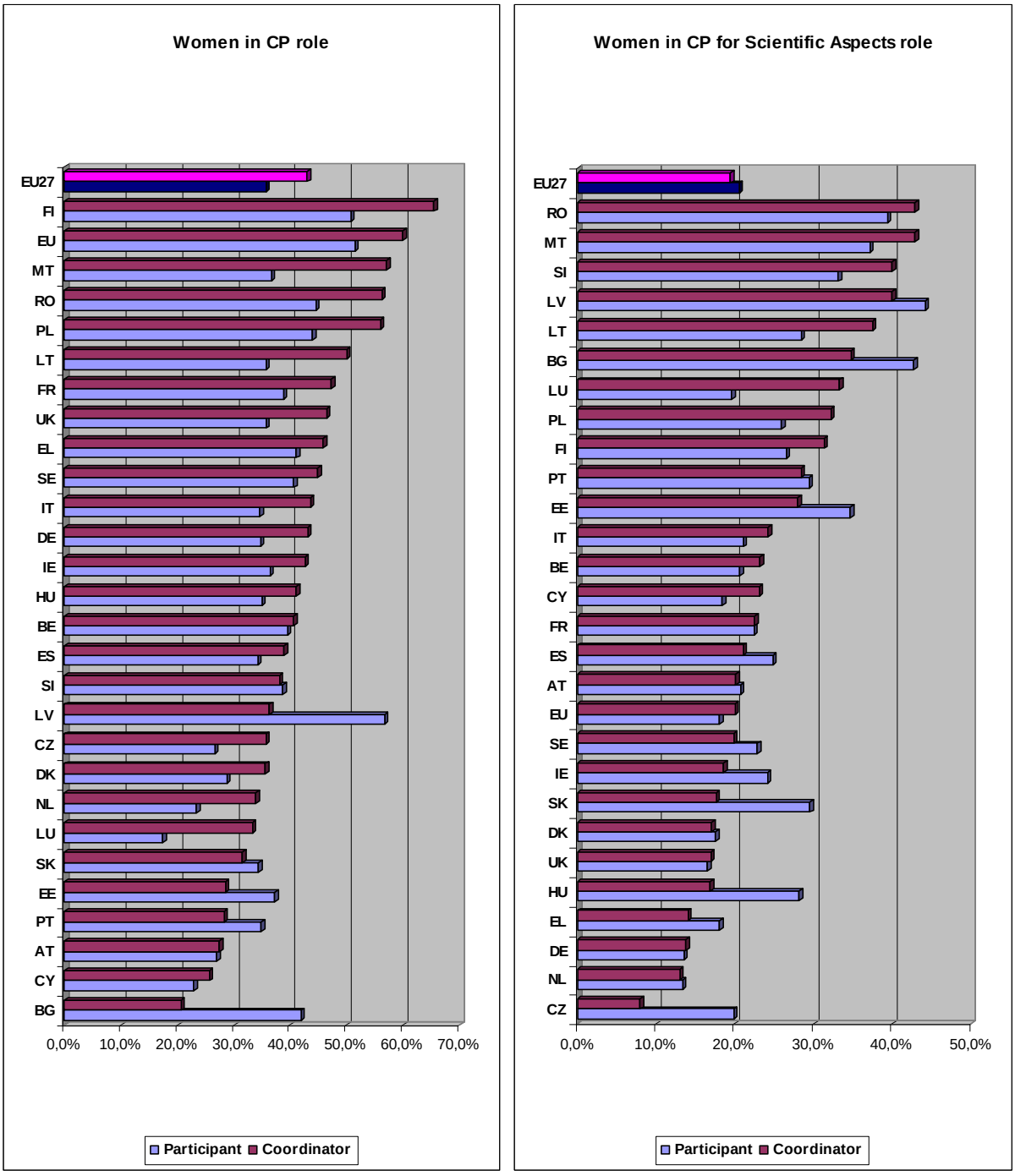


Figure 28: Participation share of women in contact person for scientific aspects, fellow and principal investigator roles in FP7 signed grant agreements during the period 200-2010 by EU27 Member State.

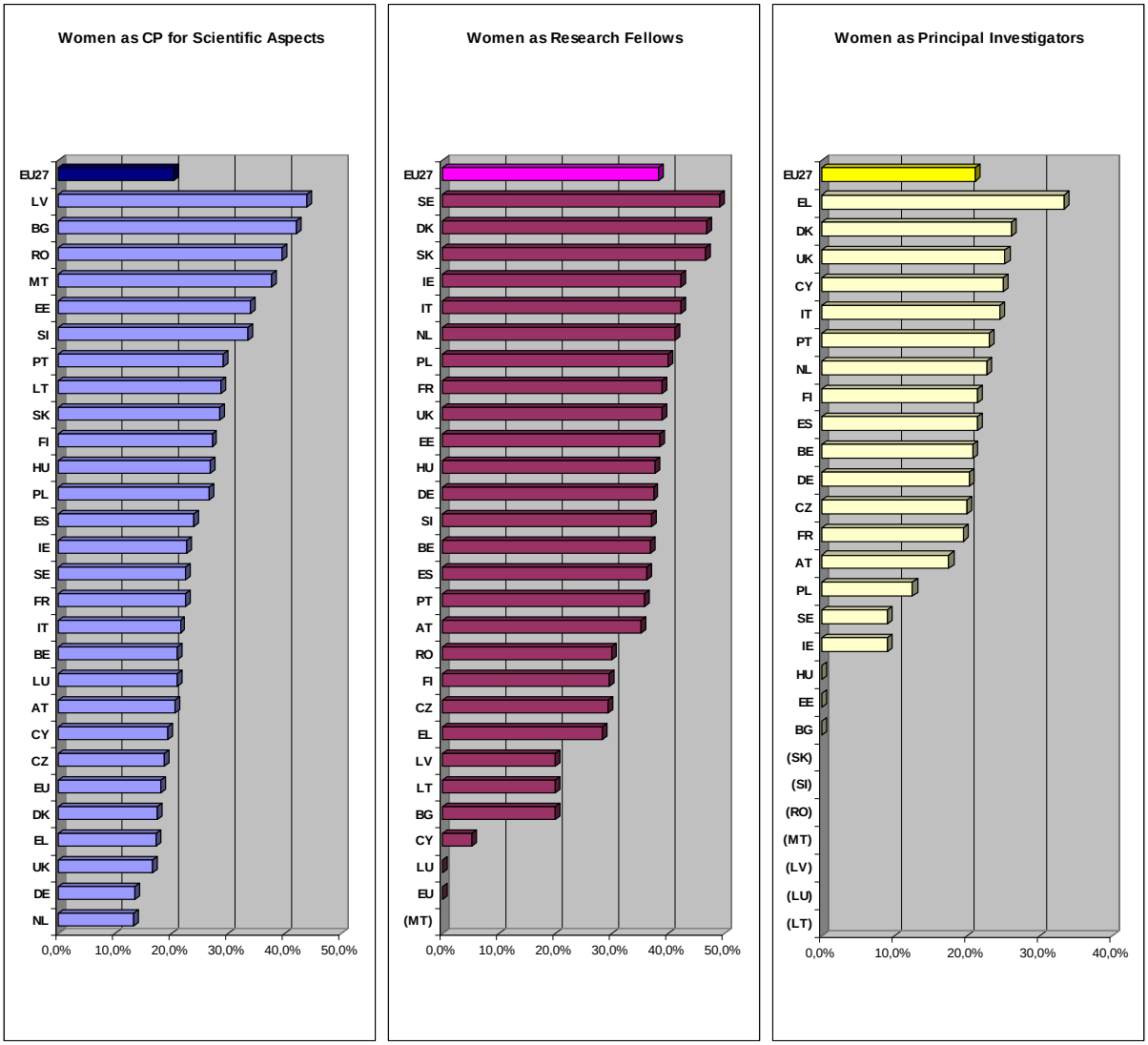
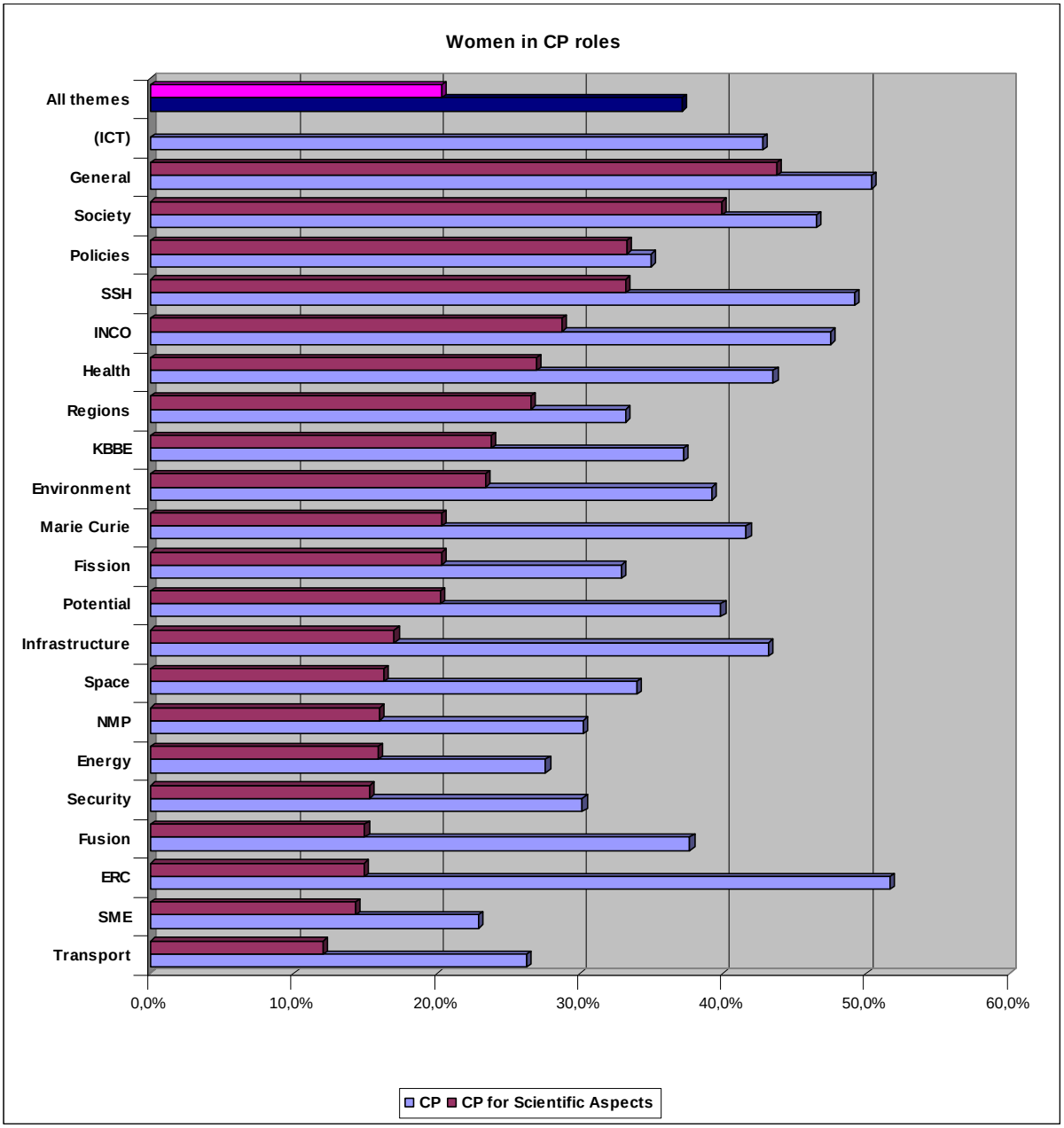


Figure 29 presents the participation share of women in contact person roles in FP7 signed grant agreements from 2007 to 2010 by thematic area. It is interesting to observe the considerable variation of female participation shares in contact person for scientific aspects role among different thematic areas, which ranges from more than a third of the total in areas like Science in Society, Support for the coherent development of research policies, and Socio-economic sciences and Humanities, to a slim 12,1% in Transport, 14,4% in Research for the Benefit of SMEs, 15,3% in Security, 15,9% in Energy, and 16,0% in Nanosciences, Nanotechnologies, Materials and new Production Technologies.

Figure 29: Participation share of women in contact person and contact person for scientific aspects roles in FP7 signed grant agreements from EU27 during the period 2007-2010 by thematic area.



2.5.2 Women participation in FP7 advisory groups, panels and committees

By the end of 2010, 25% of all experts registered in the FP7 experts' database (or 21.963 out of a total 88.015 entries) were woman, which represents a slight decrease compared to 2009. The share of women in FP7 evaluation panels, i.e. of registered FP7 evaluation experts with at least one participation in evaluation panels, saw an improvement in 2010 by 1% to 29,5% (or in total 4.557 women out of 15.451 experts having participated in FP7 evaluations).

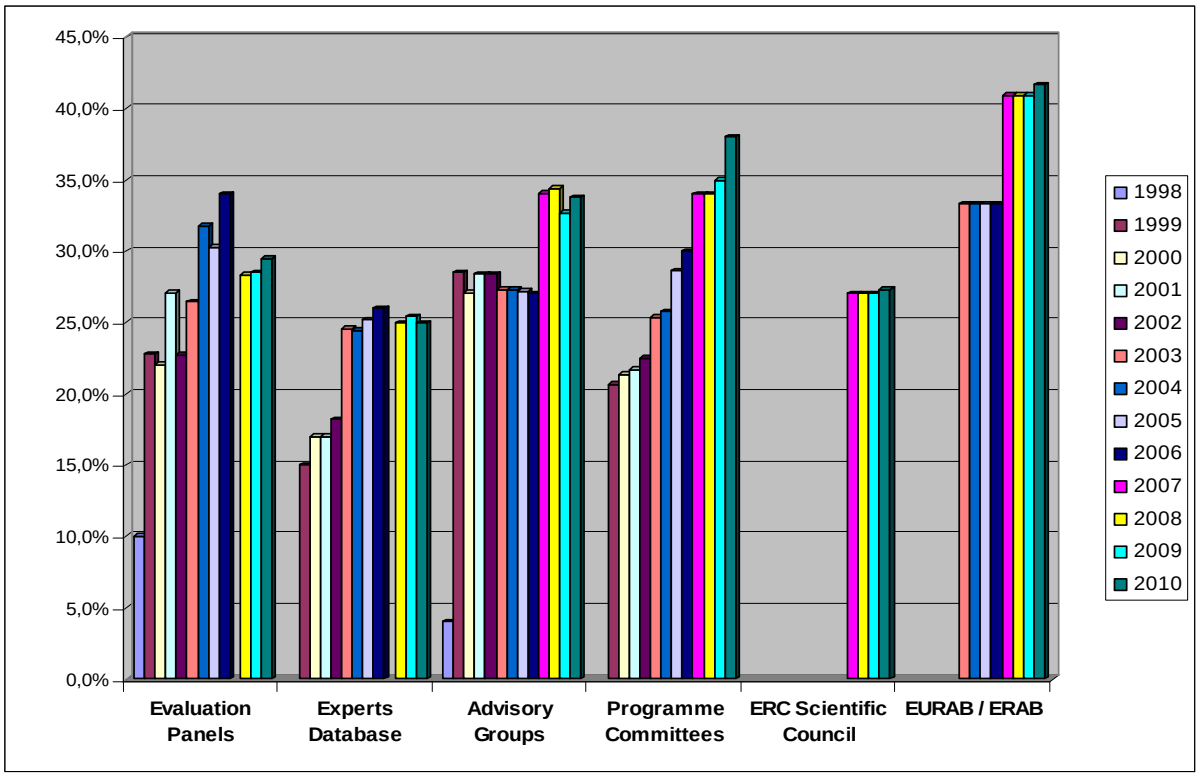
Out of the existing 14 Advisory Groups under FP7, the percentage of women in the 10 Advisory Groups managed by DG RTD was 37,9%. Compared to previous years' improvement, the 2010 figure represents a slight decrease also in view of the 40% target. However, the percentage of women in all FP7 Advisory Groups, including those managed by other DGs, saw a small increase in 2010 of 1,1% to overall 33,8%.

The percentage of female members of FP7 Programme Committees increased to 38%. In the same year female members of the ERC Scientific Council represented 27,3% of the total. The

corresponding figure for the European Research Area Board (ERAB) – the consultative body responsible for advising the EU on the realisation of the ERA – was 41,7%, which is slightly higher than in 2009 and also higher than the respective figure (33% until 2006) for the European Advisory Board (EURAB) – the high level advisory board established for FP6.

Figure 30 below presents in more detail the shares of women participation in groups, panels and committees from FP4 to FP7 (1998-2010).

Figure 30: Participation share of women in advisory groups, panels and committees (FP4, FP5, FP6, FP7).*



* For Evaluation Panels and the Experts Database, the data presented for each year of FP7 are cumulative.

3 FP7 IMPLEMENTATION IN 2010 – MANAGEMENT AND QUALITY ISSUES

3.1 Dissemination activities

3.1.1 Internet

The European Commission Research web site on EUROPA provides up-to-date information on the latest decisions and latest advances in European Research. According to DIGIT/DG COMM statistics, the entire research web site on EUROPA, including pages of historical interest (e.g. FP5, FP4), currently has over 50.000 pages. It should be noted however, that there is some under-counting due to various reasons (e.g. to counting dynamic sites, where parameters determine the page content, as one page). Key figures for 2010, compared to 2009, 2008 and 2007 are shown below.

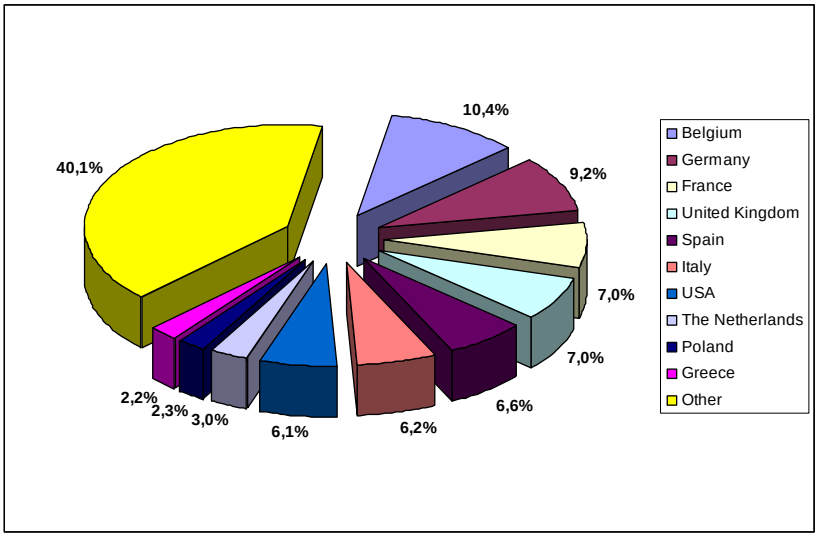
Table 8: EUROPA usage statistics (DIGIT/DG COMM statistics).

EUROPA USAGE	2007	2008	2009	2010
Visits per year (total)	7,5 million	8,5 million	6,9 million	7,3 million
Page views (total)	16,65 million	16,2 million	21 million	22 million
Visitors per month (average)	N/A	125.000	> 300.000	340.000

For 2010, Google monitoring had been set up for a selection of 51 current active sites on the European Commission Research web site on EUROPA. According to Google Analytics, these 51 sites comprise some 64.000 pages (counting those visited more than once in the year – up from 60.000 in 2009) that were visited on average by 128.000 visitors per month. In 2010 there were 2,2 million visits leading to 6,6 million page views. There is, however, some over-counting (e.g. due to counting the same page twice, if parameters appear in a different order).

Figure 31 presents the distribution of visits by country with Belgium leading the list of the 10 countries with the highest number of visits. It should be kept in mind that the latter is likely to be the result of the fact that many European institutions are being based in Brussels.

Figure 31: Distribution of visits to EUROPA sites by country



Statistics for the Innovation Union web site were set up separately. Google reports 10.000 visitors in 2010 since the site was started on 6 October, with 35.000 visits and 97.000 page views.

CORDIS, the Community Research and Development Information Service for Science, Research and Development, is run separately and had been designed primarily for current and potential participants in the Framework Programmes. In addition to being the official source of information on FP7, CORDIS is intended to enhance exploitation of research results and to promote the dissemination of knowledge. The CORDIS mission is currently being reoriented, with a focus on the dissemination of results and a reduction in scope. For example, the Participant Portal's FP7 calls section (on EUROPA) will become the European Commission's single authoritative website for information and documentation on FP7 calls. These new pages will replace the CORDIS FP7 calls service which will be phased out in the coming months. These changes are already being reflected in statistics for 2010.

CORDIS key figures for 2010, compared to 2009, 2008, 2007, are shown below.

Table 9: CORDIS usage statistics.

CORDIS USAGE STATISTICS		2007	2008	2009	2010
VISITS	Total amounts of visits	40.807.258	16.427.703	7.915.814	4.580.459
	Daily average of visits	111.495	44.884	21.628	12.515
PAGES	Total amount of page accesses	73.692.567	41.810.363	32.657.358	26.865.421
USERS	Number of users (IP addresses)	343.595	294.078	266.396	209.566
	With only one visit	60.753	84.178	96.268	125.045
	With >1 visit	282.842	209.900	170.128	84.521
DOCUMENTS	Number of documents downloaded[13]	7.510.175	4.405.646	3.444.622	6.123.341
	Total size of documents downloaded	2.845,8 GB	2.012,0 GB	2.308,1 GB	3.345,1 GB

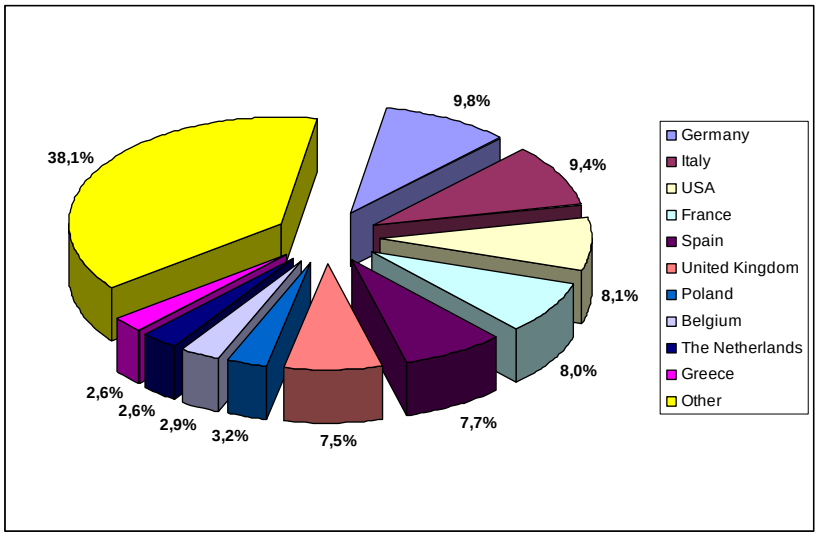
In addition to the transfer of the FP7 calls section to the Participant Portal, the steep decline of the number of visits and the number of pages visited is also partly due to a delay regarding the updating of FP6 and FP7 results before mid-2010 and to further improvements concerning the list of 'identified' robots used by CORDIS to filter their activities in order to reflect as much as possible the usage of the CORDIS website by real users. Given the reorientation of CORDIS, the comparability of statistics is likely to be affected further in the future.

Table 9 also presents the share of 'correct' and 'incorrect' downloaded documents in 2010, showing a considerable rise compared to 2009. It should be kept in mind that it is the figure of 'correct' downloaded documents that provides a better view of the reality of downloaded documents.

Figure 32 presents the distribution of visits by country with USA being number 3 in the list of the 10 countries with the highest number of visits.

[13] Figures for 2009 and 2010 represent the share of 'correct' downloaded documents (not including the 'incorrect' downloads).

Figure 32: Distribution of visits to CORDIS sites by country



Information on the Participant Portal can be found in section 3.6 Simplification.

3.1.2 National Contact Points meetings

National Contact Points (NCP) play an important role in providing information and assistance to potential applicants and hence are vital for ensuring transparency and equal access to the Framework Programmes. Moreover, by transnational networking and by facilitating EU wide integration of research they can contribute significantly to the implementation of the Framework Programmes.

In December 2007, guidelines for establishing and operating the NCP systems for FP7 and for their relations with the Commission services and each other have been published.[14] These guidelines address the network architecture, the nomination and recognition process and the operational modalities.

At a central level, one meeting of the NCP Coordinators took place in October 2010. The FP7 Legal and Financial NCPs met three times in 2010, namely in February, in July and in November, and discussed a broad range of issues (e.g. IT systems, validation of the legal status of participants and verification of the financial capacity, audit and certification on the methodology, legal questions related to the FP7 and Marie Curie model grant agreement, IPR issues and simplification).

Thematic NCP meetings were organised by the operational Directorates. Given the different areas and levels and also the complexity of the NCP system, exact numbers are difficult to retrieve.

A survey of NCPs regarding FP7 promotion and implementation issues in 2010 (see also Sections 3.5, 3.6.2, and 5) provides some information on the numbers of FP7 information days, organised by NCPs in 2010. NCP National Coordinators and FP7 Coordinators for Specific Fields were asked to indicate the total number of FP7 information days organised in 2010 by their NCP and to provide an estimate of the total number of attendees at these 2010 information days. 30,8% of the respondents report that more than 7 information days were

[14] Guiding principles for setting up systems of National Contact Points (NCP systems) for the Seventh EU Framework Programme on Research and Technological Development (FP7) (December 2007).

organised by their respective NCP. This represents a decrease compared to 2009, but may also reflect the fact that NCP clients are more familiar now with FP7 and its modalities. Events cover a broad range from major information days, to medium-sized regional events, to small dedicated seminars and workshops including training days. 4,6% of the respondents did not organise any information day at all. As regards the total number of attendees, 54,9% of the respondents indicated more than 100 attendees for their information days in total.

3.2 Quality assessment of proposal evaluation and the redress procedure

3.2.1 Proposal evaluation

In order to receive the independent experts' opinion on the quality of the proposal evaluation process and the procedures applied, an anonymous on-line survey of all experts who participated in the evaluation of proposals during the fourth year of FP7 was carried out. Similar surveys had already been conducted in 2007, 2008, and 2009. The data collected for the fourth year of FP7 confirm the positive picture of the quality of the evaluation process. Key figures are presented in Table 10 below.

Table 10: Key figures of evaluators' survey 2010.

EVALUATORS' SURVEY	2007	2008	2009	2010
Experts invited to participate	3.630	3.492	4.612	3.972
Responses received	2.281	1.682	2.373	1.744
Respondents finding the quality of the evaluation overall *satisfactory* to *excellent*	96,1%	97,6%	97,6%	97,4%
Respondents rating the quality of the evaluation overall *excellent*	22,1%	26,5%	29%	28,8%
Respondents, having previously evaluated research proposals for national or international research funding schemes, finding the EU evaluation process *better* or *much better*	52,6%	61,3%	61,0%	60,8%

The results demonstrate that the high quality of the evaluations has been maintained. Evaluators were very satisfied with the way in which the evaluations were conducted with respect to impartiality, confidentiality and fairness. In particular the level of efficiency of the evaluation task has been rated as excellent, good or satisfactory by 95,9% of the respondents.

There are a number of results pointing to issues for attention:

- *Available time*: Still the majority of the respondents (56,8%) believe there was sufficient time for the reading and the individual evaluation of proposals. However, similarly to previous years, a significant minority of the experts (17,4%) thought they had too little or totally insufficient time for this part of the evaluation, which is slightly less than what was recorded in 2009.
- *Evaluation criteria*: A frequently recurrent comment is that more weight should be given to the S/T quality criterion compared to the other two criteria. The 'impact' criterion is still found to be the most difficult to apply. Among experts evaluating Collaborative Projects, 44,1% thought this was the most difficult to apply, which represents a slight decrease compared to 2009 (2007: 31%; 2008: 43%: 2009: 47%).
- *Conflicts of interest*: 23,3% of the evaluators answered 'yes' when asked if they were aware of any possible conflicts of interest. However, as in previous years, an overwhelming majority of these, 91,9% (almost the same as in 2009), believed that these possible conflicts of interest were thought to be handled correctly.

- *Logistical aspects*: There has been a continuous improvement of the logistical aspects over the years. Also in 2010, an overwhelming majority of the experts (95,8%) rated the overall organisation of the evaluation positively, which represents a small decrease compared to 2009 (97%). A significant part of these respondents (48,1%) rated the logistical aspects as 'excellent' (2009: 47%; 2008: 43,9%; 2007: 29,9 %).

3.2.2 Redress procedure

The FP7 rules for participation stipulate that the Commission shall provide a redress procedure for applicants. The intention of the legislator was to formalise the *ad hoc* approaches for dealing with complaints that existed in previous programmes.

In line with these requirements, a redress procedure has been set up that aims to be both efficient and consistent with the principles of transparency and equal treatment that underpin all Commission evaluations. Corresponding redress guidelines set out the more operational aspects of the new procedure. The redress committee meets in various configurations according to the different calls for proposals. The configurations work independently, and deliver their advice to the responsible directors. A redress office, located in unit RTD-A.3, is responsible for registering and tracking redress requests, supporting the committee configurations, and ensuring that policy is coherent and consistent over time, based on case histories. These guidelines have since been endorsed by the Legal Service, and some of the most salient guidelines have been incorporated into the evaluation rules.[15]

Table 11 shows the results of the redress procedure for FP7 calls launched in 2007-2010. The figures presented below do not include redress cases related to ERC calls and managed by the European Research Council Executive Agency (ERCEA, section 4.1.2), but include the redress cases managed by the Research Executive Agency (REA, section 3.7.2.4).

It should be noted that the figures for previous years have also been updated, given that more redress requests have been solved and closed in the meantime.

Table 11: Key figures for the redress procedure in 2007-2010.

REDRESS PROCEDURE	2007	2008	2009	2010	2007 - 2010
Proposals received	17.380	10.059	13.166	11.757	52.362
Redress requests received	772	403	443	487	2.105
Redress cases upheld but not leading to re-evaluation*	41	25	26	10	102
Redress cases leading to re-evaluation	8	7	9	6	30
Redress cases leading to re-evaluation (% of proposals received)	0,048%	0,071%	0,069%	0,052%	0,059%

* Due to the fact that the proposal failed anyway for other reasons or because the identified problem was minor and not crucial to the experts' evaluation.

Problems leading to a re-evaluation were, for example, related to the eligibility of proposals (scope, number of participants), or to serious factual errors, or to insufficient specialist expertise on the part of the experts. In only three cases did the re-evaluation eventually lead to the given proposal being funded.

In 2007, the ERC put in place redress procedures, following the model established for FP7, but with a separate Ideas configuration of the redress committee. The ERC now has its own

[15] European Commission (2008): Rules for submission of proposals, and the related evaluation, selection and award procedures (*Version 3, 21 August 2008*), COM (2008) 4617, 21.08.2008

formal procedure, including its own redress committee and guidelines. Information on 2010 cases can be found in section 4.1.2.

3.3 The FP7 Ethics Framework - Ethics reviews and ethics audits

The Commission has included in FP7 procedures a thorough Ethics Review process for all proposals that raise ethical questions and are likely to receive Community funding. The Ethics Review process safeguards the protection of fundamental rights and the respect of ethical principles. It guarantees that no funding is allocated to research that does not comply with the relevant EU and national legislation and the ethical considerations specified in the Framework Programme. The Ethics Review process is described in detail in the "Rules for submission of proposals, and the related evaluation, selection and award procedures"[16]. The new "Rules" published on 22 March 2011[17] offer a detailed description of the new Ethics Review process, including the Ethics Screening and the Ethics Follow-up and Audit.

All proposals that are selected for funding and raise ethical issues undergo an Ethics Review by independent experts in research ethics coming from a variety of scientific disciplines. The Ethics Review process is split in two phases: the Ethics Screening and the Ethics Review. The Ethics Screening had been introduced in order to facilitate the selection of projects that required Ethics Review at the EC level versus projects that can be implemented following only national approvals and ethics committee opinions. The Screening is the responsibility of the programmes that receive the applications and similarly to the Ethics Review is carried out by independent experts.

Research proposals involving interventions on human beings (such as surgical interventions, clinical trials etc.), non-human primates, or human embryos/embryonic stem cells are automatically referred for Ethics Review at EC level. In addition to the three mandatory categories mentioned above particular attention is paid to research involving children, research undertaken in developing countries, and security-related research.

The Ethics Review is the responsibility of the Ethics Review Sector of DG RTD, which also coordinates the methodological and implementation aspects of the Screening phase.

The organisation of the Ethics Review process involves the appointment of the members of the Ethics Review panels and the procedural coordination of the entire evaluation process. The requirements put forward by the Ethics Review experts become contractual obligations and are part of the terms of the FP7 grant agreement between the Commission and the researchers. All FP7 funded projects can request specific assistance on ethics issues from the Ethics Review Helpdesk, accessible through the "get support function" of the CORDIS site.

Proposals that undergo an Ethics Screening and an Ethics Review can be flagged by the reviewers as requiring an Ethics Audit. The objective of the Audit procedure is to assist the researchers to deal with the ethics issues that are raised by their work and if necessary take corrective measures.

The Table below presents an overview on Ethics Reviews organised during the first four years of FP7. It should be noted that the new Ethics Review process introduced in 2010 includes a new process called Ethics screening that was undertaken by each thematic area. The number

[16] Version 3, 21 August 2008, COM (2008)4617 (see Annex A 'Ethical Review Procedures')

[17] 2011/161 EU, L75

of Ethics Screenings in 2010 is approximately three times higher than the number of Ethics Reviews indicated below.

Table 12: Key figures for ethics reviews in 2007-2010.

ETHICS REVIEWS	2007	2008	2009	2010	2007 - 2010
Number of Ethics Reviews organised	245	294	232	298*	1.078
Projects stopped as a result of the Ethics Review	0	0	0	0	0
Project proposals found to have insufficient safeguards in place, requested to modify project following contractually binding requirements	44	82	122	172	420
Proposals flagged for Ethics Audit	N/A**	7	12	27	46
Experts having participated in Ethics Review process	79	95	103	118	395

* Plus 9 resubmissions (proposals that were considered not to fulfil the ethics requirements at the time of first submission).
** Ethics Audits represent a rather recent addition to the FP7 ethics framework.

The project proposals that were reviewed cover a broad variety of issues under different thematic areas and specific programmes. In 2010 *People* is the area with the highest number of Ethics Reviews, which is due to the higher number of applications for funding received by this programme, followed by the *Health* theme and the *ERC*. Table 13 provides more details.

Table 13: Ethics Reviews by FP7 Specific Programmes and thematic area in 2010.

ETHICS REVIEWS IN 2010 BY FP7 SPECIFIC PROGRAMMES & THEMATIC AREAS	
COOPERATION	
Environment	3
Food, Agriculture and Fisheries, Biotechnology	10
Health	49
ICT (Information and Communication Technologies)	12
Nanosciences, Nanotechnologies, Materials and new Production Technologies	5
Security	9
SiS	16
SSH	1
SMEs	10
Transport	5
IDEAS (ERC)	45
PEOPLE (Marie Curie Actions)	125
CAPACITIES	
Research Infrastructures	8
Total	**298**

In 2011, the Ethics Review Sector of DG RTD will organise specialised workshops and undertake all necessary activities and initiatives so as to assess the impact of the Ethics Review and Audit procedures upon the FP7 scientific community, the host institution structures and the competent national authorities and relevant ethics committees. Selected FP7 projects might be asked to participate on a voluntary basis. The objective of this procedure is to improve the Ethics Review process, maximise the positive impact of the FP7 ethics framework on the research community and contribute to the positive societal image of research.

3.4 Time-to-grant

Time-to-grant (TTG) is defined as the time elapsed from the deadline of the call for submission of proposals until the signature of the grant agreement. In the case of two-stage calls for proposals, it is the second stage call deadline that is used in the calculation of the Time-to-grant. TTG is expressed in calendar days. Signed grant agreement is defined as signed by means of its status (grant indicated as signed) or by the pre-financing information (grant not indicated as signed but potentially signed).

The sample of grant agreements, on which the time-to-grant statistics reported here are based, includes all those FP7 signed grant agreements that correspond to calls for which at least 70% of the negotiations for all retained proposals have been concluded by the date of the last TTG data extraction (June 2011). The sample under consideration here also includes grant agreements that correspond to calls concluded in 2007, 2008, and 2009.

TTG statistics capture a cumulative and volatile picture which is continuously updated with an upward trend as more proposal negotiations are gradually concluded. The grant agreements included in this sample correspond to approximately 91% of the total number of retained proposals for concluded FP7 calls so far (April 2011) and, therefore, they provide a reasonably good approximation of the final TTG figures.

Taking into account the above limitations, the average TTG for the whole FP7 is 348 days (median 334). This figure represents a minor improvement compared to 2009. In 2009 the average TTG was 350 days (median 335 days). The 2009 TTG figures were higher than in the first two Monitoring Reports (2008: average TTG 333 days, median 318; 2007: average TTG 291 days, median 287), hence reflecting the fact that at the time of reporting in the first two Monitoring Reports several lengthier grant agreement negotiations had not been concluded and, therefore, had not been included in the sample on which the 2009 TTG statistics were based.

For more detailed information on time-to-grant statistics see Table B5 in Annex B.

3.5 Independent assessment of FP7 implementation by National Contact Points

Similarly to previous years a survey was conducted among National Contact Points (NCP) to collect their views, comments and suggestions with regard to the promotion and implementation of FP7 during 2010. This year the questionnaire was dispatched to 935 FP7 National Coordinators and FP7 Coordinators for Specific Fields from the 40 EU Member States and Associated Countries. As a result, 195 responses were received from 38 different countries (response rate of 20,9%). The complete results of the NCP survey are presented in Annex C.

3.5.1 Project life cycle

The questionnaire, in addition to gathering information on the promotion of FP7 at the national level (Section 3.1.2) and opinions on the simplification of FP7 (Section 3.4.2), on the role of FP7 in global context (Section 3.5.2), and on innovation (Section 5), posed questions on FP7 implementation, each covering a different phase of the project cycle. Figure 34 below summarises the results of this specific part of the survey (see Annex C for detailed statistics).

Almost three quarters of the respondents (very slightly less than in 2009) rated the *information available on FP7 calls* as either 'good' or 'excellent'. Free-text comments indicate

some differences for the various areas of FP7 and also highlight that in light of the wealth of information available it appears sometimes difficult to find what is needed.

The procedures for the *evaluation of proposals* were deemed as 'good' or 'excellent' by around 53% (2009: 55%) of the respondents, with another third rating them as 'satisfactory'.

The *ethic review procedures* were deemed 'excellent' or 'good' by 41%. It is worth noticing that 32% of the survey participants had 'no opinion'.

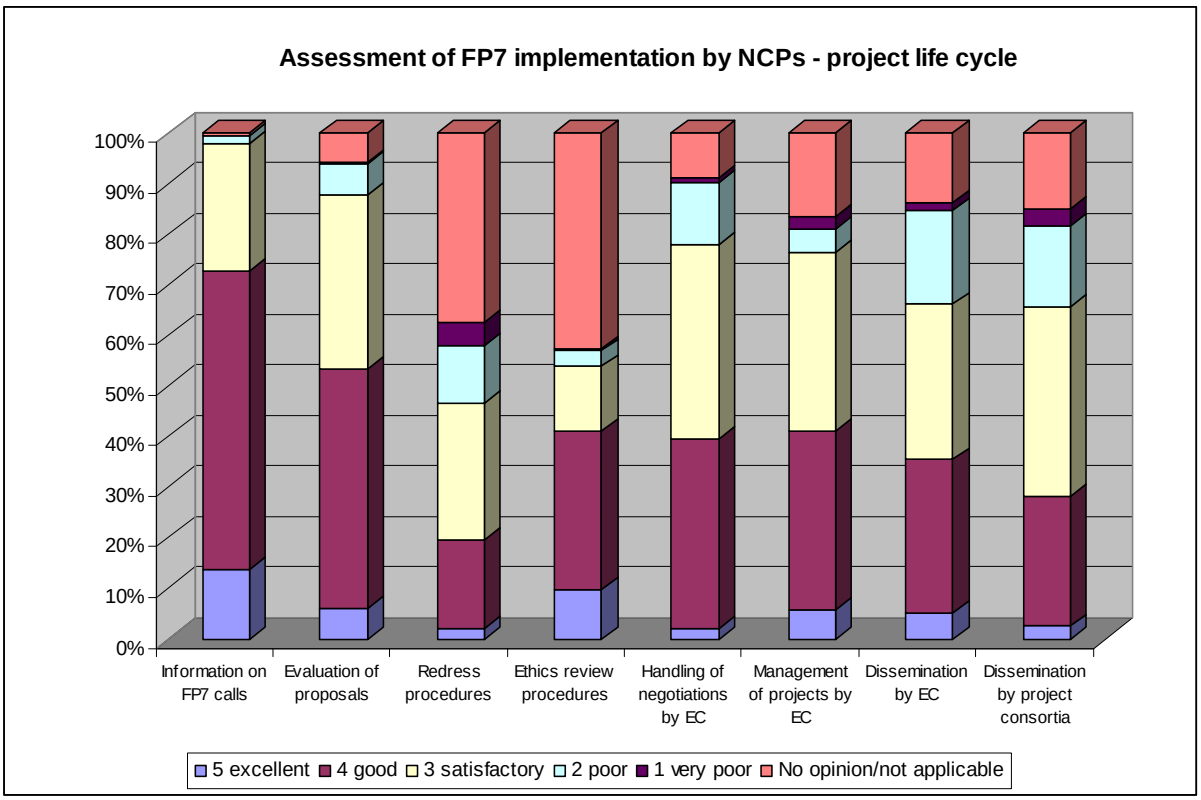
Figures are less favourable with regard to *redress procedures*, which were rated as 'good' or 'excellent' by 19,5% of the respondents (2009: 20,4%). Still 15,9% of the respondents, though less than in 2009 (22%), rate the *redress procedures* as 'poor' or 'very poor'. In the related comments, NCPs explain that researchers are dissatisfied with the redress system focusing on administrative procedures rather than the content of the evaluation of proposals. Many of the respondents (almost 28%) had no opinion or found the question 'not applicable' (10,8%).

The *grant negotiation procedures* handled by Commission services were deemed as 'good' or 'excellent' by 39,5% of the respondents (2009: almost 40%), the main criticism here being the length of the time-to-grant.

The rating of the *management of projects by the Commission* was less positive than in 2009 with only 41% of the respondents assessing it as 'good' or 'excellent' (2009: almost 50%). Dissatisfaction was expressed in the comments regarding the heterogeneous interpretation of legal and financial guidelines. For both REA and ERCEA, very positive as well as some critical comments were received.

As regards the *communication and dissemination of project findings*, it was acknowledged by many who commented that projects should better communicate the findings and results of projects to the wide public, even after the end of projects. NCPs report that results and outcomes are difficult to find and request Commission Services to update project databases more regularly. Comments also highlighted the complexity of using CORDIS and made a request for a more standardised approach.

Figure 33: Assessment of FP7 implementation issues in the project life cycle in 2010 by NCPs.



3.5.2 FP7 in general context

NCPs were invited to provide their assessment of the role and possible leverage effect of FP7 in a more general context. Figure 35 below summarises the results (for statistics, see Annex C).

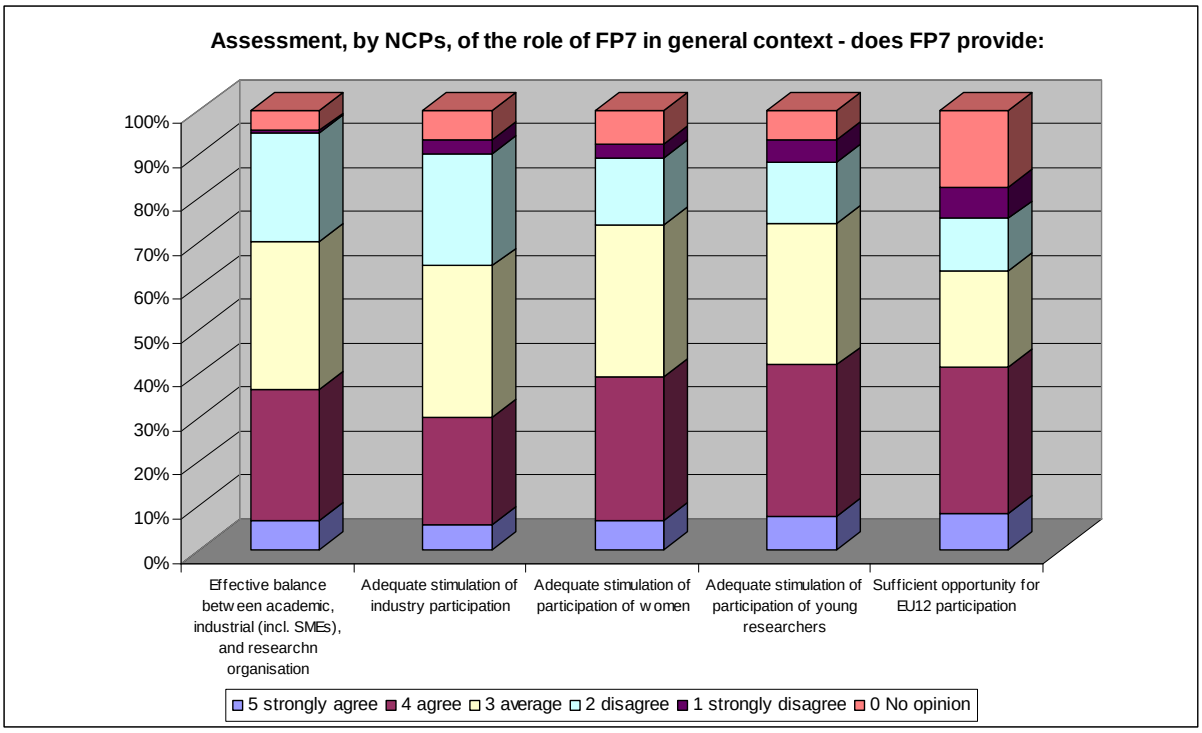
When asked if the FP7 comprises an *effective balance between academic, industrial (including SMEs) and research organisation sectors*, respondents provide a broad range of opinions with 36% of the in total 195 respondents agreeing or strongly agreeing, while 25% express their disagreement.

A slightly more negative response pattern emerged regarding the *adequate stimulation of industry participation*. Free-text comments show a general agreement that industry and SME participation should be more encouraged; the time-to-grant is deemed to long for the industrial sector.

For the role of FP7 in terms of *adequate stimulation of the participation of women* and of *young researchers*, respondents are more positive with 39,5% and 42,1% respectively, agreeing or strongly agreeing. In their comments, many respondents indicate the need for a higher participation of women.

The role of FP7 in providing *sufficient opportunity of EU12 participation* shows again a high level of agreement (41,5%), but finds also 19% of the respondents disagreeing or strongly disagreeing. In the related comments, several survey participants said to not understand and/or support the focus behind the question on the role of FP7 regarding on EU12 participation.

Figure 34: Assessment of the role of FP7 in general context by NCPs.



In a separate question, NCPs were asked to assess whether FP7, by the way it is designed and implemented, provides equal opportunities. Here, 60% of the respondents agree or strongly agree, while only 8,2% express their disagreement. Nevertheless, there were a number of comments highlighting the need to foster the gender aspect and increase female participation in FP7 projects, evaluation panels, and advisory groups.

NCPs were also invited to rate the implementation of the FP7 novel measures. Figure 36 below summarises the results (for statistics, see Annex C).

The *European Research Council (ERC)* is the novel measure receiving the highest appreciation with 64.1% of the respondents rating it 'very well' or 'generally well' implemented.

The implementation of *ERA-Nets plus* is deemed as 'very well' or 'generally well' by 34,4% of the respondents with 'acceptable' saying 31,2%, while almost one third had 'no opinion'.

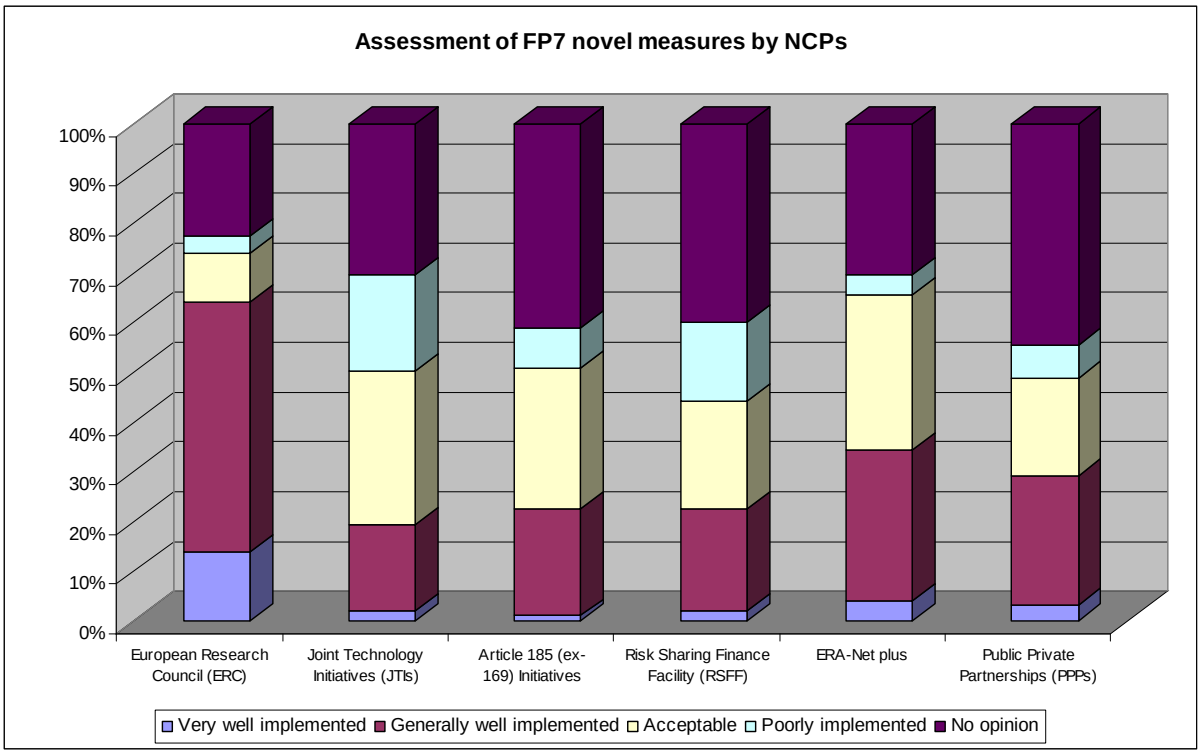
29,2% of responding NCPs rate the implementation of *Public Private Partnerships* under the European Recovery Plan as 'very well' or 'generally well' implemented. A high share of respondents (almost 45%) had 'no opinion'. In related free-text comments, NCPs explain that PPPs appear to be more efficiently implemented than JTIs, but they call for an improvement regarding procedures to be better understood by industries.

A similar high share of 'no opinion' replies (41%) was received for *Article 185* (ex-169) Initiatives, with 22,6% of respondents rating the implementation as 'very well' or 'generally well'.

The same applies for the *Risk-Sharing Finance Facility (RSFF)* with 40% of the respondents having 'no opinion' and 22,6% rating the RSFF implementation as 'very well' or 'generally well'. With 21,5% of the respondents rating the RSFF implementation as 'acceptable', these figures appear in compliance with the positive conclusions of the RSFF Interim Evaluation conducted by independent experts in 2010 (see section 4.7).

The implementation of *Joint Technology Initiatives (JTIs)* is deemed as 'very well' or 'generally well' implemented by 19,5%, while again 19,5% rate the implementation as 'poor' with almost a third of the respondents having 'no opinion' and another third rating it as 'acceptable'. Dissatisfaction was expressed in the comments regarding the complexity and the heterogeneous procedures for the different JTIs. Another problem highlighted by some respondents is the nature of JTIs (to a lesser extent also of PPPs) as being captured by a few industries.

Figure 35: Assessment of the implementation of the FP7 novel measures by NCPs.



3.6 Simplification

3.6.1 Simplification measures in FP7

The EU Framework Programmes are by far the most substantial international research programmes worldwide. Over the last decades, this has led to a certain complexity in their organisation and to a corpus of rules and procedures, which are not always easy to understand for new applicants.

Against this background the European Commission has undertaken a number of initiatives to simplify the implementation of the Framework Programmes. While gradual improvements were achieved in FP6, the launch of FP7 offered the unique opportunity to simplify procedures in a far more fundamental way.

While it is still early to assess the full impact of these measures, this chapter is intended to recall the different initiatives taken and to highlight wherever possible the first results obtained.

Simplification measures in place since the start of FP7

Introduction of the Participants Guarantee Fund - fewer ex-ante financial capacity checks and protective measures

The introduction of the guarantee fund in FP7 allowed the abolition of ex-ante financial viability checks for the majority of participants. These checks are now only necessary for coordinators and participants requesting an EU contribution of more than € 500.000. In addition, bank guarantees, blocked accounts, reduced pre-financing or other measures of financial protection are no longer requested by the Commission. Both the increase of the threshold and the abandonment of some protective measures simplify participation for beneficiaries, in particular for SMEs and start-ups.

Certification of costs – fewer audit certificates

The introduction of the guarantee fund has also allowed the European Commission to reduce the number of several ex-ante controls before the reimbursement of costs, by introducing a threshold under which costs do not need to be certified. Overall, the number of required certificates has largely decreased. In FP6 all beneficiaries had to submit audit certificates, in FP7 75% of beneficiaries are exempt of this requirement.

Unique registration of participating legal entities

The Unique Registration Facility (URF), a web-based system where the participants can access and change their legal data online, is in full operation since May 2008. Legal documents have to be provided only once, and validation by the central team holds for all future participations in FP7. At the time of writing nearly 25.000 entities are already registered and validated. The unique identifier (Participant Identification Code - PIC) given to each legal entity is now used in all systems for FP7 proposal and grant management. It has already had positive and widely acknowledged effects on FP7 grant and programme management:

- It provides easy traceability of participations through the complete project lifetime and in all IT systems. It improves thus the quality and coherence of data for statistics and reporting.
- It allows an easy propagation of changes to the entity data to all systems and parties concerned in all grants in which an organisation participates.
- It provides for a more coherent implementation and extrapolation of audit results.
- It gives each organisation the possibility of easy monitoring of their participations in FP7.

Grant agreement negotiation

A new web-based electronic system for negotiation, used by all research DGs, was introduced by the end of 2007. The system allows online interaction between participants and Commission Project Officers. Since May 2008 it is linked to the Unique Registration Facility, providing for seamless data exchange on legal entities.

In accordance with the Rules for Participation, all research DGs within the Commission have adopted harmonised and transparent rules to ensure consistent ex-ante verification of the existence and legal status of participants, as well as their operational and financial capacities. To the same end, a financial viability check tool has been provided to participants, allowing them to self-assess their financial capacity.

Project reporting

Several elements of simplification have been introduced in the processes and rules for intermediate and final reporting in FP7 projects:

- Streamlining of reporting guidelines and the structure of reports.
- Striving for an extension of average reporting and payment periods from 12 months (in FP6) to 18 months, thus reducing the overall number of reports and payment transactions by 17% (estimation based on simulations on the FP6 portfolio). It should be noted that 24 months reporting periods had already been introduced for Marie Curie grants.
- The amount of data collected in reports is considerably reduced.
- A web-based electronic system for the submission of financial statements (Forms C) is in operation since December 2008. It provides for automatic checking and online support to beneficiaries to reduce the errors in the forms and helps thus rationalising the payment processes.
- Since the beginning of 2009 the Commission also has an online system for the submission of financial statements and project reporting. All these systems are interlinked and connected to the back office systems, presenting the user at each process step with Web forms pre-filled with all the existing data, avoiding thus repeated requests for the same information. It simplifies interactions between participants and the Commission and provides better possibilities for the dissemination of project results.

Amendments

The FP7 amendment guidelines were prepared with the aim of identifying all possibilities for simplifying rules and procedures. The main result is that in FP7 the coordinator can not only request amendments on behalf of the other beneficiaries (as in FP6) but can also accept them on their behalf. In addition, some changes (such as changes in the address or legal name of the beneficiary) in on-going grants do not require a formal amendment in each of the grant agreements where the beneficiary participates but just the sending of one information letter to the legal entity. Important simplifications in the amendment processes have been enabled by the Unique Registration Facility. Changes to the status of a legal entity are now automatically propagated to all grants concerned (in all research DGs) and to the respective participant, coordinators and project officers.

Streamlining and harmonisation of documentation

Documentation and guidance notes on the various aspects of FP7 implementation are clearer and simpler and adapted jointly by the research DGs. This has been preceded by consultation with external stakeholders e.g. via comments received directly from beneficiaries in the inquiry service (helpdesk) or via the network of legal and financial national contact points.

Research Participant Portal

The Research Participant Portal is an ambitious endeavour of all research DGs together with DG DIGIT to bring all interactions between the Commission and the participants in the Framework Programme(s) under a common IT platform. It will become over time the gateway and single entry point to interact with the Research programmes of the European Commission. The Research Participant Portal is aimed at hosting a full range of web applications which will support and facilitate the management of proposals and projects throughout their life cycle by the participants.

Since January 2009, the Participant Portal has been operational and accessible by the external world. In 2009, several applications have been integrated within the Participant Portal such as the Unique Registration Facility, the FP7 document service, the IT systems for grant negotiation, handling of amendments, scientific-technical reporting and in early 2010 for financial reporting.

Further possibilities for simplification presented in 2010/2011 (Communication on simplification and Decision on short-term measures)

On 29 April 2010 the Commission adopted a Communication on the simplification of the Research Framework Programmes[18]. This Communication presented options aimed at opening a wide debate on simplification, helping the Commission in preparing legislative proposals for the research and innovation programmes. Certain of these options were already potentially applicable for FP7 although they required changes in the rules in(to) force. In this context, some measures gained evident support from stakeholders and legislative authorities and led to the adoption of specific implementing provisions for FP7.

Thus, the Commission proposed new rules allowing for a wider acceptance of average personnel costs, a flat rate system for the remuneration of SME owners and natural persons without a salary, and the setting of a Clearing Committee mandated to ensure the harmonised implementation of the framework programmes. These new provisions were adopted by the Commission in January 2011[19]. In addition, the research family DGs supported the calls of many stakeholders to remove the obligation to recover the interest on pre-financing. However, this measure was left for the discussion on the triennial revision of the Financial Regulation and its Implementing Rules to be adopted by the end of 2011.

Finally, 2010 was the first year of implementation of the measures on simplification of the recovery process related to the extrapolation of systematic errors. These measures, decided in the context of the audit strategy, allow beneficiaries to use flat rate corrections for the calculation of the amount to be reimbursed to the Commission. The extrapolation procedure is very labour intensive and time consuming both for the Commission services and the beneficiaries as the costs claimed in each individual project have to be re-calculated. The new flat rate correction alternatives largely simplify the extrapolation of systematic errors while safeguarding the respect of the principle of sound financial management.

3.6.2 Perception of simplification in FP7 by National Contact Points

In the NCP survey conducted in the context of the 2010 monitoring exercise FP7 National Coordinators and FP7 Coordinators for Specific Fields were asked to rate the *user-friendliness* of the FP7 administrative and financial procedures both in absolute and relative terms (relative to procedures in FP6 and more generally to previous Framework Programmes). With respect to simplification, NCPs' opinions were asked on the measures that have been implemented so far to make FP7 simpler (*simplification measures*).

User-friendliness of the FP7 administrative and financial procedures

When NCPs were asked to compare FP7 with FP6 on specific aspects of the project cycle, the share of respondents rating each of these aspects as 'more difficult than FP6' decreased considerably compared to 2009, with *project management (in general)* and *communication with Commission Services* being the only exceptions recording a minor increase of 0,2% each.

A majority of the 195 respondents (55,9%, same as in 2009) answered that *application procedures* are easier than in FP6 (see Table 14). More than half of the respondents rated FP7 more user-friendly than FP6 as regards *finding information on Framework Programme* and *on open calls*. Figures with respect to *grant negotiations, project management (in general), project reporting and project reviews,* and *IT tools* show minor to some improvement from

[18] http://ec.europa.eu/research/fp7/pdf/communication_on_simplification_2010_en.pdf

[19] http://ec.europa.eu/research/fp7/pdf/c-2011-174-final_en.pdf#view=fit&pagemode=none

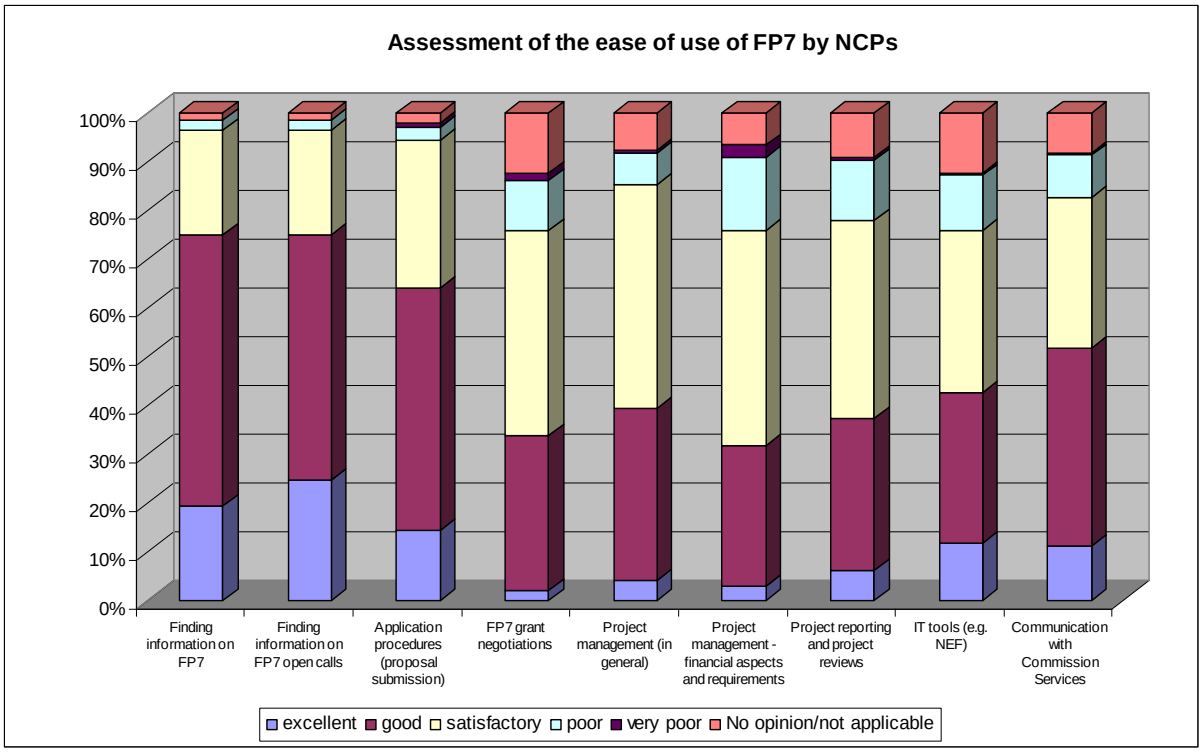
FP6 to FP7. With 23,1%, less than a quarter of the respondents (and slightly less than in 2009) rated the *communication with Commission Services* easier than in FP6. Ratings are more favourable when looking at the *financial aspects and requirements of project reporting*, which 34,9% of the respondents assessed easier than in FP6. For this and the other issues, it should however be noted that the share of respondents having 'no opinion' or saying 'not applicable' is high, ranging from 22,1% to 35,5%.

Table 14: Assessment by NCPs of the ease of use of FP7 compared to FP6.

EASE OF USE OF FP7 COMPARED TO FP6	RATINGS (%)			
	Easier than FP6	Same as FP6	More difficult than FP6	No opinion/not applicable
Finding information on Framework Programme	**50,8**	24,6	1,5	23,08
Finding information on open calls	**51,3**	25,1	1,5	22,1
Application procedures (proposal submission)	**55,9**	15,4	5,1	23,6
Grant negotiations	26,7	**30,3**	7,7	35,5
Project management (in general)	28,7	**29,2**	14,4	27,7
Project management - financial aspects and requirements	**34,9**	20,5	17,4	27,2
Project reporting and project reviews	**31,3**	28,2	11,3	29,2
IT tools	**46,7**	12,3	9,7	31,3
Communication with Commission Services	23,6	**37,9**	9,2	29,2

When respondents were asked to rate the ease of use of FP7 in absolute terms for the same range of administrative and financial procedures/aspects, a similar pattern emerges (see Figure 37 below and Annex C for statistics).

Figure 36: Assessment by NCPs of the ease of use of FP7 in absolute terms.



The results confirm the appreciation of FP7 procedures and the improvement of FP7 procedures compared to FP6, already established in the previous NCP survey.

The overall trend is a very high level of satisfaction with FP7 procedures. The number of respondents rating the ease of use of each aspect of the project cycle as 'satisfactory' or better never falls below 75,9%, which also represents an improvement compared to 2009 (72,5%).

Aspects relating to *finding information on FP7*, and *on FP7 open calls* are rated 'excellent' or 'good' by almost 75% of the respondents. But the figures as well as the free-text comments also highlight areas of dissatisfaction.

The free-text comments given by the respondents reveal that the enhancement in user friendliness from FP6 to FP7 is perceived as heterogeneous: Some respondents regret that in spite of improvements of the ease of use in some areas, others became more complicated. Numerous free text comments clarify and illustrate the ratings of *IT tools*: Even though they are perceived to be more user friendly than the FP6 ones, they are accused to create problems due to malfunctioning. NEF is generally considered easier to use than FORCE. The participant portal is deemed as a good concept but the changes in design and structure are perceived as a source of confusion.

As last year, there is still a degree of consensus amongst the respondents that the introduction of new approaches/initiatives, such as the agencies, and the changes in terminologies or funding schemes had mitigated or even reversed the attempts to simplify procedures overall as users had found these novelties confusing. Some respondents comment that more information on the re-design of the Commission websites (changes in CORDIS) and on calls would be appreciated, while others call for more training of the NCPs by the Commission as they find it difficult to learn how to use some of the new tools. For the communication with Commission Services, very positive as well as several critical comments were received. NCPs highlight the need for homogeneous approaches and for officers to be easily reachable. Overall, the comments are more positive regarding the simplification of the IT tools compared to the ease of the project administration procedures and financial aspects and requirements that are aspects still considered as very complex by the NCPs.

When asked to compare FP7 with other funding schemes, 19,5% of the respondents rate the *ease of use of FP7* as 'less complex' or 'much less complex'. However, half of the respondents consider FP7 as 'more complex' or 'much more complex'.

Effectiveness of simplification measures

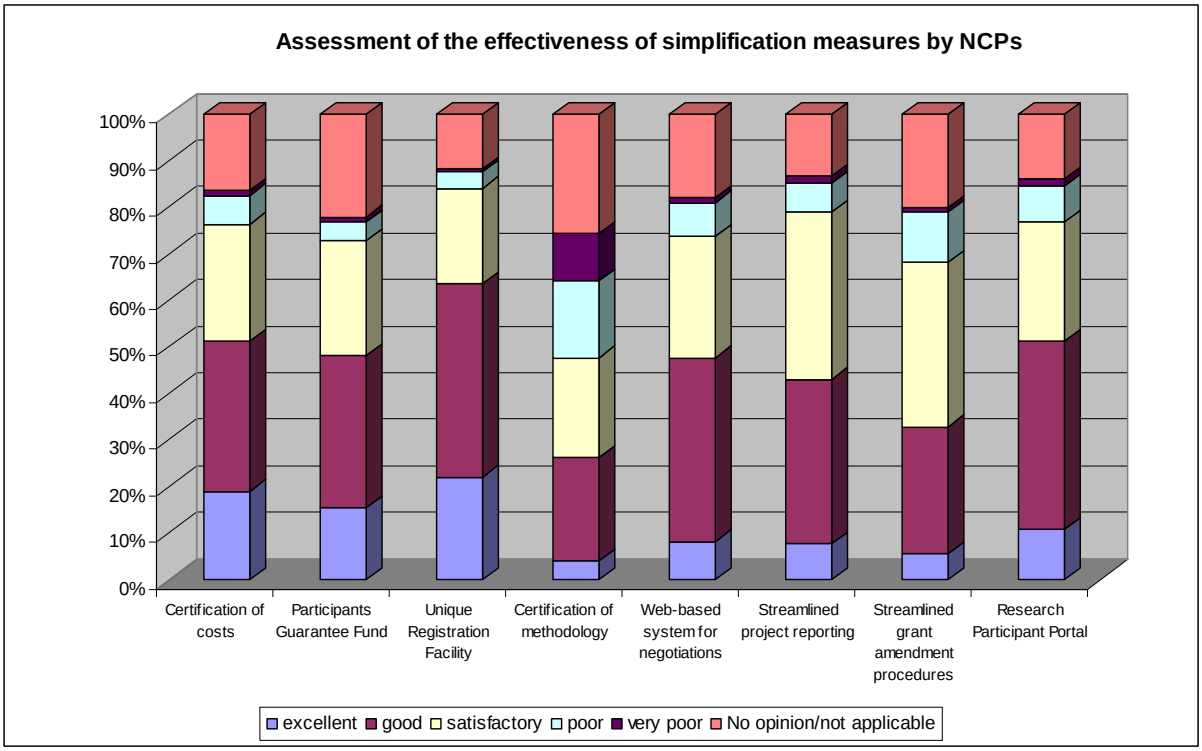
NCPs were asked to assess the effectiveness of the different measures which have been implemented in order to simplify the use of FP7. For the *Unique Registration Facility (URF)* effectiveness is perceived as high very high by a clear majority of respondents (see Figure 38 and Annex C for statistics). More than half of the respondents rated the effectiveness of measures related to the *certification of costs*, and the *Research Participant Portal* as high or very high. The *Participants Guarantee Fund* and the *web-based electronic system for negotiations (NEF)* corresponding figures are still of close to 50%.

The trend is slightly less favourable with respect to the effectiveness of the measures aiming at simplifying *grant amendments procedures*. Also, the *certification of methodology* seems to convince the user community less, as shown by the low ratings given by more than a quarter of the respondents and comments reporting the procedure to be very bureaucratic and slow.

In the free-text comments, respondents added that the *IT tools* (NEF, project reporting) could potentially have a great impact on simplification but that they still have to be better implemented. NCPs noted that the *Guarantee Fund* and the *certification of costs* lead to real improvements. High expectations from the *Participant Portal* measure were expressed in the

comments but some NCP's deplore the lack of information on updates and implementation. As regards project reporting, NCPs report some dissatisfying variation concerning the level of detail requested by Commission Services.

Figure 37: Assessment of the effectiveness of FP7 simplification measures by NCPs.



3.7 Monitoring sustainable development in FP7

3.7.1 FP7 and the renewed EU Sustainable Development Strategy

In FP7 the legislator (Council and the European Parliament) has demonstrated willingness to harness EU-funded research to sustainability. This is particularly clear in the Cooperation Specific Programme, where "the overarching aim is to contribute to sustainable development."[20]. The three new priorities of smart, sustainable and inclusive growth in the Europe 2020 Strategy confirm the necessary attention to sustainability. The Heads of State and Governments adopted, in June 2006[21], the renewed EU sustainable development strategy (EU SDS). FP7 is well equipped to meet R&D expectations expressed in the EU SDS, and allows for aligning EU-funded cooperative research with sustainability goals.

To provide a global overview of the volume of FP7-funded research expected to have an impact on the objectives of the EU SDS, a monitoring system on research for sustainable development has been implemented. This system also allows deeper analyses on specific clusters of projects pursuing a common objective.

[20] Annex 1 of the Specific Programme Cooperation text

[21] Doc 10917/06

3.7.2 Web-based monitoring tool on research for sustainable development

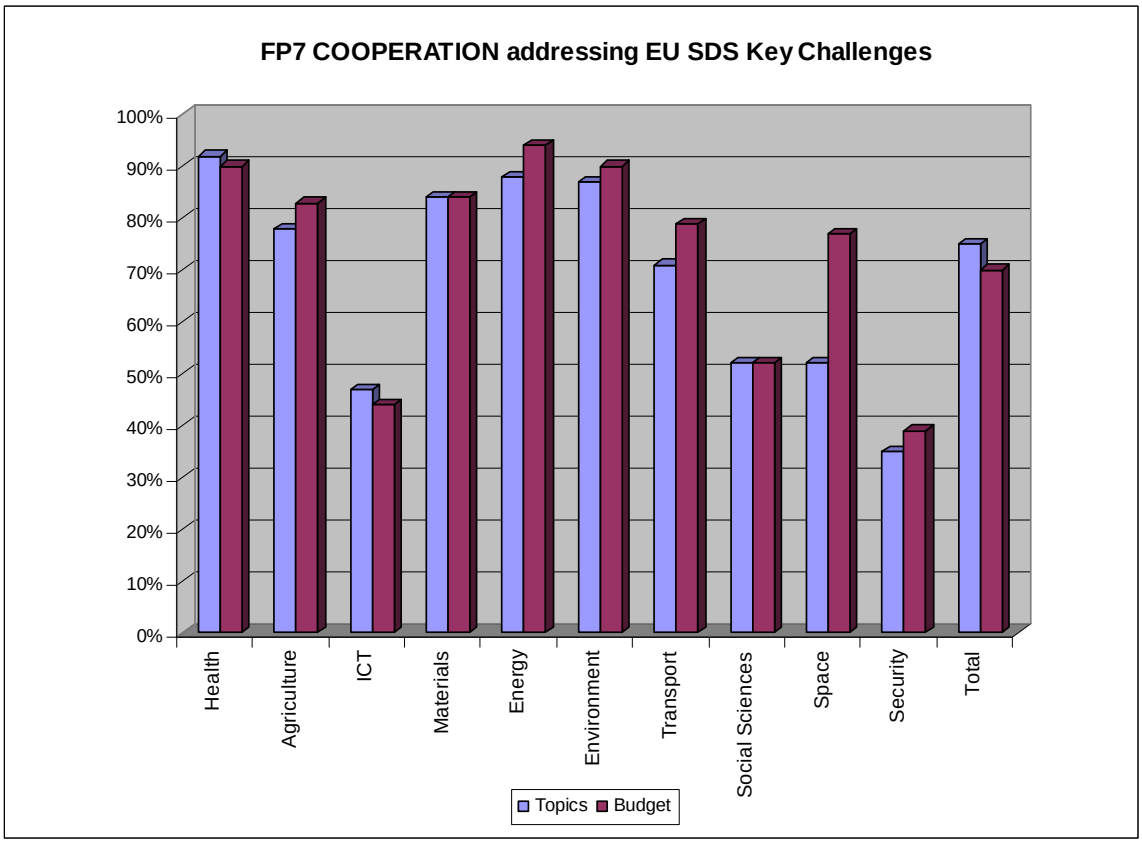
The online public monitoring system, which is based on a screening of the Work Programmes published under FP7, became operational on 21 April 2010[22]. Each topic is cross-referenced with the 78 operational objectives of the EU SDS[23]. Hence, this system allows for monitoring the part of FP7 contribution arising from the calls for proposals to grand challenges identified in the EU 2020 Strategy: climate change, energy security, health and social cohesion[24]. Potential users are welcome to register here.

3.7.3 Achievements regarding FP7 contribution to sustainable development

Global overview

In the first four years of FP7 implementation, 75% of the topics (1.464 topics out of 1.941) in the Cooperation Specific Programme are deemed to have a positive impact on at least one of the operational objectives of the EU Sustainable Development Strategy (EU SDS). In budgetary terms, this amounts to € 7.3 billion, i.e. 69% of the total EU-funded cooperative research. One can see in Figure 36 that all (10) Themes of the Cooperation Specific Programme contribute to this effort.

Figure 38: FP7 Cooperation topics (2007-2010) and budget (2007-2010) addressing EU SDS key challenges.



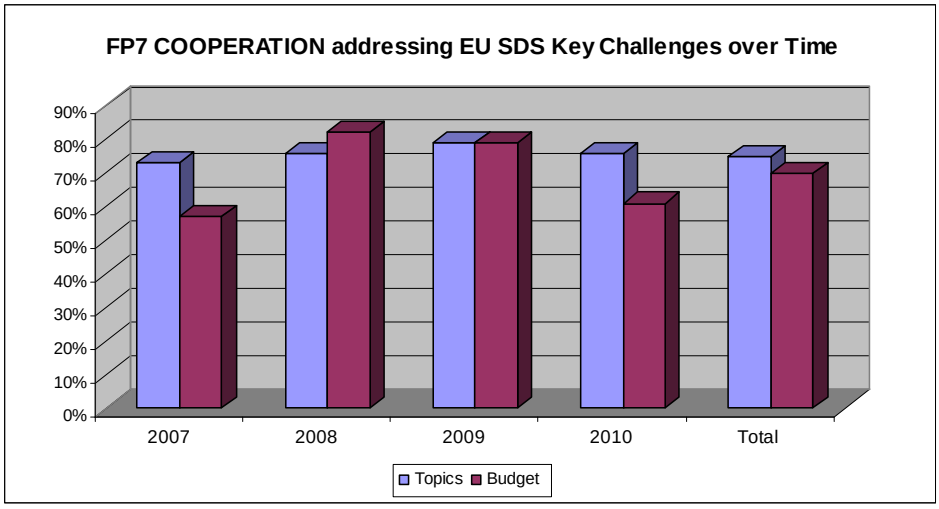
[22] The project is run by Vienna University of Economics and Business (WU Vienna). The screening is conducted by a group of experienced researchers and experts from Vienna University of Economics and Business (WU Vienna) and Technical University Delft (TU Delft). In order to ensure a high quality of results and to discuss specific arising issues, around 10% of the topics are additionally validated by thematic experts from Ecologic Institute, INFRAS Research & Consulting and ISI Fraunhofer.

[23] See full list at https://www.fp7-4-sd.eu/tpl/static/EUSDS_referential_framework.pdf

[24] This does not capture the contribution of the JTIs.

In terms of a longitudinal view and as Figure 37 illustrates, the share of the Cooperation Specific Programme which is deemed to have a positive impact on at least one of the operational objectives of the EU SDS shows an upward trend. The number of topics with positive expected impacts on sustainable development-related objectives has increased from 73% to 76% over the Work Programmes 2007 to 2010. In budgetary terms, the percentage grows by 4 points, from 57% to 61%. Nevertheless, in 2010, both figures declined, with a number of topics with positive expected impacts on the EU SDS shifting from 79% in 2009 to 76% and the share of EC contribution (which is deemed to have a positive impact on at least one of the operational objectives of the EU SDS), from 79% in 2009 to 61% (of the total EU-funded cooperative research).

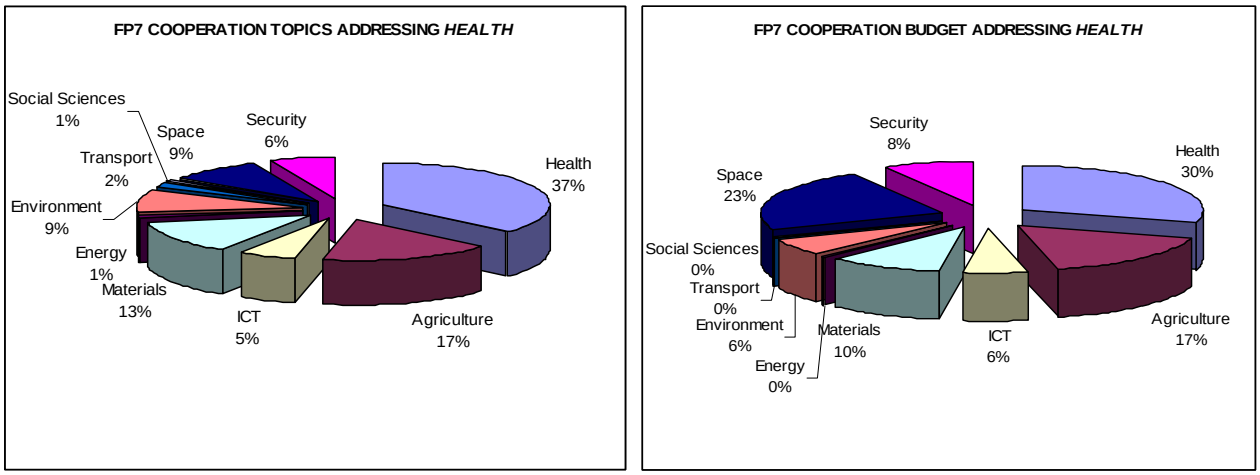
Figure 39: FP7 Cooperation topics and budget addressing EU SDS key challenges over time.



Focusing on grand challenges

The SD monitoring system shows that among the grand challenges for the EU identified in the Europe 2020 Strategy, the best served is health[25] with a total of 556 topics leading so far to a volume of EC contribution of € 3.2 billion. As can be seen below this effort comes mainly, but not exclusively, from the Cooperation Programme Health theme.

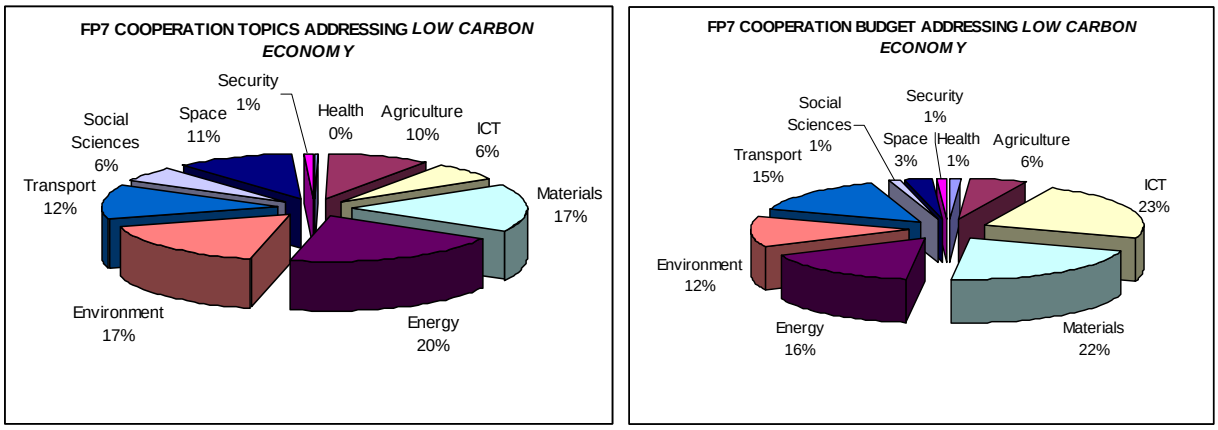
Figure 40: FP7 Cooperation topics (2007-2010) and budget (2007-2008) addressing the grand challenge *health*.



[25] This does not take into account the EU contribution of € 1 billion invested in the Innovative Medicine Initiative (IMI JTI).

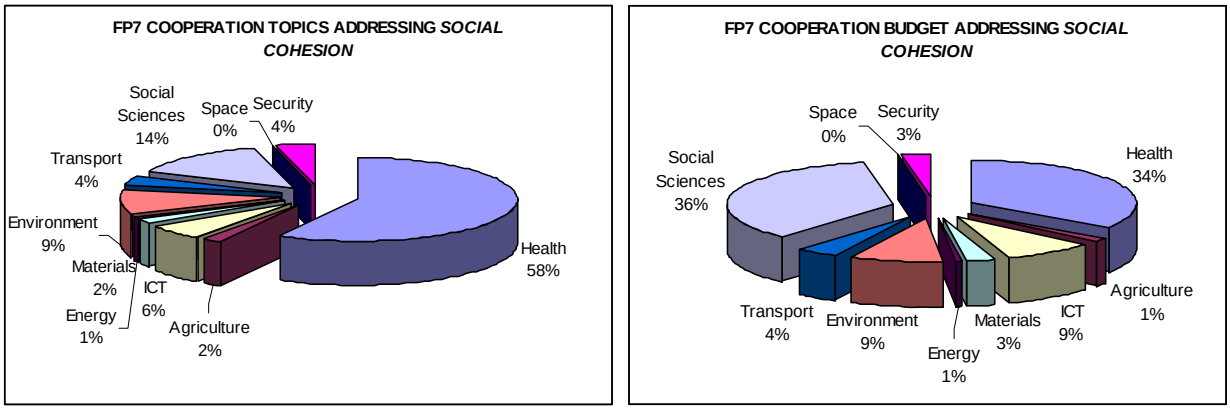
Regarding the "climate change"[26] challenge, 662 topics, i.e. 34% of the total, call for research conducive to a low-carbon economy. In terms of budget, this amounts to € 4,3 billion (i.e. 41% of the total allocated budget under the Cooperation Specific Programme). All 10 themes participate to this cross-cutting effort.

Figure 41: FP7 Cooperation topics (2007-2010) and budget (2007-2008) addressing the grand challenge *climate change*.



Social cohesion is the least addressed challenge with respectively 188 topics and € 891,5 million, with more than half of the contribution coming from the Health theme.

Figure 42: FP7 Cooperation topics (2007-2010) and budget (2007-2008) addressing the grand challenge *social cohesion*.



[26] This does not take into account the EU contributions of € 800 million invested in the Clean Sky Joint Technology Initiative and of the € 470 million invested in the Fuel Cells and Hydrogen Joint Technology Initiative.

4 FP7 IMPLEMENTATION IN 2010 – SPECIAL FOCUS

The overall objective of this chapter is to take a closer look at some of the new elements and specific fields of FP7. The selection of presented topics may vary from year to year. For 2010, and in addition to the topics already addressed in the 2009 Monitoring Report, sections on the implementation of the ICT theme and on SMEs have been included.

4.1 European Research Council

The European Research Council (ERC) has been given the mandate to deliver competitive research funding at the frontier of knowledge, and at EU level, thus adding value to and complementing national research funding schemes.[27] It is the means for implementing the Specific Programme Ideas of the Seventh Framework Programme for Research, which is endowed with a substantial budget (€ 7,51 billion over the period 2007-2013).

The ERC's architecture comprises an independent Scientific Council, composed of 22 eminent researchers, supported by the European Research Council Executive Agency (ERCEA). An independent ERC Identification Committee, composed of six high level scientists, was appointed by the European Commission in September 2010 with the task of identifying future ERC Scientific Council members.

The ERC Strategy, as defined by the Scientific Council is to select and fund research of the very highest quality at the frontiers of knowledge as judged by peer review on the sole criterion of excellence. Operationally, the strategy is executed via two funding instruments designed by the ERC Scientific Council:

- *ERC Starting Grants (StG)*: Supporting the transition to an independent career for excellent researchers, whatever their nationality, located in or moving to the Member States and Associated Countries, who are at the stage of starting or consolidating their own independent research team or, depending on the field, establishing their independent research programme.
- *ERC Advanced Grants (AdG)*: Supporting excellent, innovative investigator-initiated research projects across the Member States and associated countries, directed by leading advanced investigators of whatever age, who have already established themselves as being independent research leaders in their own right.

These schemes have been well received by the research community and already around 1.800 frontier-research projects resulting from the first six calls of the ERC Starting Grant and ERC Advanced Grant schemes have been started in prestigious research institutions in Europe.

The success of the ERC was recognized by two high level independent evaluation panels set up by the European Commission:

- The report "Towards a world class Frontier Research Organisation" by the independent high level Review Panel set up to evaluate the European Research Council's Structures and Mechanisms" stated that "the ERC has succeeded beyond expectations".
- The expert group on the Interim Evaluation of the FP7 stated that "Despite being a new, and thus untried, instrument, the European Research Council (ERC) has manifestly succeeded in attracting and funding world-class research and is playing an important role

[27] Commission Decision No 134/2007/EC of 2 February 2007 establishing the European Research Council. OJ L 57, p.14.

in anchoring research talent."

4.1.1 The ERC Executive Agency (ERCEA)

The ERCEA implements the Ideas programme according to the strategies and methodologies defined by the independent ERC Scientific Council.

The main priority of the ERC in 2010 was the effective and efficient implementation of the specific programme Ideas and, in parallel, the ERC Executive Agency's further organisational development.

The ERCEA staff increased in 2010 through recruitment, anticipating the increase in the budget of the specific programme Ideas. At the end of December 2010, the Agency employed a total of 316 agents from 21 Member states: 94 temporary agents, 218 contract agents and 4 Seconded National Experts. As regards gender balance of highly specialised staff (Temporary Agents and Contract Agents Function Group IV), 59% of the posts are occupied by women.

The ERC's instruments are simple both by design (support to individual research teams with no predefined thematic priorities) and implementation (the ERCEA has been able to develop simplified procedures and features which compare very well on measures like time-to-grant). The Agency largely met its performance targets except time-to-grant referring to the time from call deadline to signature of grants. The reason for the delay was largely due to the so-called "volcano effect". Due to eruption of the Icelandic volcano in April 2010, the ERCEA must cancel and postpone the panel evaluations, which subsequently led to a delay in the availability of the lists of retained proposals for funding.

During the course of 2010, the ERCEA increased its efforts to raise awareness of its funding opportunities both in Europe and outside, but also to raise the visibility of the ERC and of its projects among the general public and the media. The ERC caught the attention of the media both in Europe and worldwide throughout the year, both as an organisation and through the funded projects/grantees.

4.1.2 The ERC peer review evaluation process

Setting up the ERC peer review system was a major priority for the Scientific Council. 25 Panels covering three scientific domains - Social Sciences and Humanities (SH), Life Sciences (LS) and Physical and Engineering Sciences (PE) - and a broad range of topics ensure that proper consideration is given to high quality, interdisciplinary proposals.

Six ERC calls have been published since the start of the Ideas programme in 2007; three ERC Starting Grant calls (2007, 2009 and 2010) and three ERC Advanced Grant calls (2008, 2009 and 2010). At the time of writing this report around 20.000 proposals for funding were received of which about 1.800 projects were selected for funding with a total commitment of €2900m.

In response to both 2010 calls, a total of 4.882 proposals were submitted, representing a 20% increase compared to 2009. Such increase is explained by the growing consideration the ERC and the IDEAS Specific Programme are gaining with the scientific community, as well as by less restrictive resubmission rules applicable in 2010 compared to those of 2009.

For the third call of the ERC Starting Grants in 2010, 2.873 proposals were submitted, 1.205 in the Physical Sciences, 1.030 in the Life Sciences and 638 in Social Sciences and Humanities, of which 431 were retained for funding. The third ERC Advanced Grants call was published end of October 2009 with deadlines in spring 2010. 2.009 proposals were submitted for funding of which 266 were retained.

For the 2010 Advanced Grants call 192 proposals were sent to ethical screening. The screening revealed 41 proposals needing full ethical review (13 at ERCEA and 28 at DG RTD). The full ethical reviews were held during December to February 2011. In four cases, further ethical review was requested and is currently underway. The ethics review process for the Starting Grant call in 2010 started already between the first and the second evaluation step. Thus, the external ethics panel screened in total 273 proposals which is higher than the number of projects invited for funding. 48 of these proposals were subjected to a full ethical review (20 at ERCEA and 28 at DG RTD).

The ERCEA put in place redress procedures, following the model established for FP7. In 2010, the redress requests were 226 out of 4882 submitted proposals (approx. 4.6%). Although the significant increase compared to 2009 (by 40%), the number of re-evaluations recommended by the redress committee decreased from 15 to 5, and none was successful.

4.1.3 ERC calls

The ratios of retained to submitted proposals of the third Starting and Advanced Grant calls in 2010 was higher than in the previous calls, with a success rate of the Starting Grant increasing from 3,3% in 2007 to 9,8 % in 2009 to 15% in 2010 and the success rate of the Advanced Grants rose from an initial 13% in 2008 to 15,5% in 2009 but fell to 13,2% in 2010.

The majority of the 431 retained applicants for the 2010 Starting Grant are located in the EU but 13% have a host institution in an associated country. For the 2010 Advanced Grant the share of associated countries is higher (15%).

The relocation of applicants to new host institutions induced by the ERC calls is relatively low. Around 11% of the selected Starting Grant applicants and only 5% of the selected Advanced Grant applicants applied for another host institution than their current institution. Among these were 5 Advanced Grant holders and 17 Starting Grant holders who moved from outside Europe to a host in the Member States or the associated countries, with most of them having their previous residence in the USA.

The majority of the selected European nationals chose a host institution in their home country and only 31% of the 2010 Starting Grant holders and 15% of the 2010 Advanced Grant holders work outside their home country. A significant share of Italian, German or Greek grantees, for instance, work in other European countries whereas Swedish or British researchers rather choose a host institution established in their home country. These patterns also differ considerably between hosting countries, e.g. the share of non-national grant holders in Switzerland and in the UK is above average when compared to other countries.

The gender distribution differs between the two instruments, with a higher number of women selected in the Starting Grant (27%), compared to the Advanced Grant (9%). In December 2010, the ERC Scientific Council adopted a gender equality plan which is based on the ERC's view that women and men are equally able to perform excellent frontier research. The aim is to take into account and confront structural gender differences, so that the ERC can fulfil its mission to support excellent frontier researchers across Europe, irrespective of nationality, gender or age.

4.2 The Research Executive Agency (REA)

The Research Executive Agency (REA) is one of two executive agencies (the other being the ERCEA, see section 4.1.1) set up by the Commission to manage parts of the seventh

Framework Programme. As mentioned in the 2009 Monitoring Report, the REA has the mandate to manage the following parts of FP7:

- The Marie-Curie Actions of the People Specific Programme
- The Research for the benefit of SMEs actions of the Capacities Specific Programme
- Part of the Space theme of the Cooperation Specific Programme
- Part of the Security theme of the Cooperation Specific Programme

In addition to the "standard" tasks of an executive agency, consisting in issuing calls for proposals, evaluating proposals, grant negotiation and follow-up of running grants, the REA also provides horizontal services to the Commission departments running all the Cooperation, Capacities and People programmes. These services include logistical support related to the submission and evaluation of proposals (including running the FP7 evaluation facility), a common legal and financial validation service for participants in FP7 and running the Research Enquiry Service, a single point of entry for all questions related to the Framework Programme. During the year the REA started providing support to the contracting and payment of expert evaluators to DG RTD.

As regards the management of projects, the REA carries out the following tasks in close cooperation with its parent DGs (DG Research and Innovation, DG EAC and DG ENTR), other concerned services and its Steering Committee:

- managing all phases of the life cycle of the projects and other implementing measures;
- disseminating project results, organising and/or contributing to meetings or conferences related to programme implementation;
- collecting, processing and distributing data on the progress and results of the projects to support parent DGs in their policy development and formulation of their work programmes;
- contributing to the evaluation of the impact of the programmes and their implementing measures.

The REA has a separate legal identity and has been administratively autonomous from the Commission since 15 June 2009, but its operations are supervised by a Steering Committee of five senior Commission officials from its parent DGs and DG HR.

4.2.1 The REA in 2010

2010 was a year during which the REA stabilised its operations and expanded its activities in all areas of its mandate. It was the first year in which the Agency was responsible for all phases of programme implementation.

Performance in the management of calls delegated to the REA generally improved during 2010. New calls financed under the 2010 budget were evaluated and grant negotiations started. Grant negotiations for calls financed by the 2009 budget were successfully completed and grant agreements signed before the 31 December 2010 deadline.

The time-to-grant (TTG) considerably improved in 2010, for a majority of calls, in comparison to previous years. However, the REA experienced serious difficulties in using the FP7 project management IT tools for negotiation and production of grant agreements. These tools, made available by DG Research and Innovation and DG INFSO, had been subject to new releases which did not take into account the local tool used by the REA to meet some of the specificities of the People Programme. As a result, ad-hoc solutions had to be set up, impacting on the efficiency of the REA's operations and ability to reach TTG targets. By the end of 2010 most of these difficulties had been overcome.

The Agency currently manages an increasing portfolio of running projects close to 5.000 by the end of 2010. This represents around one half of all FP7 projects, even though the REA is only responsible for around 12% of the FP7 budget. Regular project monitoring is performed by the REA's project officers and interim/final payments are processed on the basis of reviews of project deliverables. With respect to time-to-pay (TTP), the REA improved considerably compared to the previous year. About 97% of the grant pre-financing payments were made within the contractually defined time limits; 83% of interim and final payments were made on time. With respect to the more ambitious targets set by the Commission in April 2009 as part of the economic "recovery package", some 74% of pre-financing and interim/final payments, were done within these targets. This performance is comparable to that of other services within the research family of DGs although there remains scope for further improvement once the procedures and processes for handling interim and final payments within the REA have been further tested and streamlined.

Implementation of the FP7 ex-post audit strategy, which is common to all services of the research family and a crucial component of the REA's internal control structure, began during 2010. The targets for the launch of ex-post audits were reached. This will provide the REA in due course with information on the assurance with respect to legality and regularity of its grant spending. Moreover, it will enable corrections on any possible overcharging for a significant part of the budget managed.

4.2.2 Programme management in the REA

The People Programme

During 2010, the REA managed calls to a value of € 559,25 million and evaluated 6.621 proposals submitted in response to those calls. The success rate for proposals submitted to the various Marie Curie actions varies significantly from 7% in ITN to 55-60% in COFUND, IRSES and Reintegration Grants. The ITN action remains, as in previous years, oversubscribed, while the COFUND, IRSES and Reintegration Grant actions remain undersubscribed.

79 projects launched under FP7 were closed in 2010. As a result, the REA is managing a rapidly increasing stock of projects that will further increase by some 1.400 projects as a result of the implementation of the 2010 calls.

Research for the benefit of SMEs (Capacities Programme)

During 2010, the REA managed one call to a value of € 147,1 million and evaluated 660 proposals submitted in response to that call. Under the Capacities Programme theme Research for the benefit of SMEs, the success rate of 20% indicates that this theme is still oversubscribed and there is therefore potential to absorb planned increases in annual budgets for the last three years of the Framework Programme.

Only one project launched under FP7 was closed. As a result, the REA is managing an increasing stock of projects that will further increase by some 130 projects as a result of the implementation of the 2010 calls.

Space and Security themes (Cooperation Programme)

For the Space and Security themes under the Cooperation Programme, budget management is only partly delegated to the REA. For the Security theme, those projects expected to produce classified material are managed by DG ENTR, as specified in the related work programme. For the Space theme, only actions implemented under calls for proposals are managed by REA, actions implemented through the European Space Agency remain under the control of DG ENTR.

During 2010, the REA managed calls to a value of € 236,17 million and evaluated 377 proposals submitted in response to those calls. The success rates for these themes, ranging from 20% to 39%, are in line with the average for FP7 and ensure that high quality proposals are being funded.

Only one project launched under FP7 was closed. As a result, the REA is managing an increasing stock of projects that will further increase by some 110 projects as a result of the implementation of the 2010 calls

Redress

Applicants wishing to contest the unfavourable outcome of the evaluation may submit their request to internal redress panels, composed of REA staff not directly involved in the particular evaluation process. The number of redress cases handled by the REA for its 2009-2010 calls was[28]:

- People Programme: 453 requests, 10 upheld (203 pending)
- Research for the benefit of SMEs: 2 requests, none upheld
- Space and Security: 12 requests, none upheld

All the cases upheld and submitted for re-evaluation concerned the People programme and most involved evaluators being identified as insufficiently qualified to evaluate the proposal and/or mistakes in the evaluation summary reports. Given the high number of proposals to be evaluated, the likelihood of assigning insufficiently qualified experts (especially in a bottom-up programme which covers a wide range of scientific domains) can not be fully ruled out, but the frequency of re-evaluations resulting from this aspect remains very low. In only one case did the re-evaluation eventually lead to a proposal being funded.

FP7 Support Services

The following are a selection of key performance indicators and key figures to illustrate the scale of the tasks undertaken by the REA throughout 2010 in support to the whole of the People, Capacities and Cooperation programmes:

- The EPSS (Electronic Proposal Submission System) tool was set up on time for online submission of 80 FP7 calls (including for 8 Joint Technology Initiative calls).
- The validation services validated 5.896 legal entities participating in research projects. All validation requests necessary for the execution of the 2010 budget commitments of the research DGs and the REA were done in time so as to allow the grant agreements to be signed on time.
- The Research Enquiry Service responded to 7.171 queries.
- Out of a total of 2.615 payments made to expert evaluators, 97% of payments were made within 45 days and 62% of payments were made within the target of the "recovery package" of 30 days set by the Commission in April 2009.

4.2.3 Overall appreciation

As executive agencies exist to execute policy rather than formulate that policy, when the Commission created the REA at the end of 2007, it decided to entrust to it those parts of FP7 where the bottom-up nature of the schemes meant that there was little or no direct link

[28] These figures are included in the overall redress numbers presented in section 3.2.2.

between the individual projects supported and the policy being implemented. This is clearly the case for the Marie-Curie Actions of the People programme and the Activities for the benefit of SMEs under the Capacities programme. Well targeted logistical and service tasks, such as are performed by the FP7 Support Service unit of the REA, are also clearly tasks that can be delegated to an executive agency as they are not policy tasks by nature. In the case of the Space and Security themes of the Cooperation programme, though, it cannot be said that the projects are separate from the policy, as the actual projects supported are an expression of the overall policy. In this respect, delegating these tasks to the REA was an experiment by the Commission to see whether the management of policy-sensitive projects could be successfully outsourced to an executive agency.

Although the REA has only been autonomous for less than two years, it is already clear that it has been effective in managing the bottom-up programmes in an efficient manner and that the experiment of managing policy-sensitive projects has succeeded. Not only has the agency delivered on expectations for improved performances on time-to-grant and time-to-pay, it has also implemented procedures and feedback mechanisms to allow project results to be reported to and exploited by the Commission and has good procedures in place for informing and dialoguing with the scientific communities affected by the programmes it runs. This means that the Commission has at its disposal additional possibilities, if it chooses to use them, for the management of future Framework Programmes in a cost-efficient manner.

4.3 Marie Curie Actions

4.3.1 General overview

The Marie Curie Actions (MCAs) are designed to boost researchers' careers in all fields of science and humanities. Created 15 years ago as a programme for transnational mobility of researchers, they have evolved into actions aimed at structuring and strengthening human resources activities in Europe.

Under FP7, MCAs are regrouped in the Specific Programme People with a budget of €4,75 billion (~9% of the total FP7 budget). The actions offer a full range of crucial opportunities for researchers at all levels of their career, from PhD candidates to the highly experienced principal investigators in academia or industry.

By fostering mobility across countries, disciplines and sectors, and by supporting the creation and reinforcement of international links between universities, research institutes and companies, the MCAs are a true illustration of the knowledge triangle.

MCAs are bottom-up, i.e. research projects can be funded in all research topics, freely chosen by applicants. Thanks to their bottom-up nature, MCAs fund projects that would not have been supported otherwise by the Framework Programme (2/3 of supported projects, as assessed in the FP6 Marie Curie Ex-post evaluation)[29]. By its bottom-up approach, the programme finances numerous interdisciplinary, international and intersectoral research projects addressing also major societal challenges, from climate change to health and ageing. The actions cover the entire chain of innovation from basic research to exploitation.

[29] The Evaluation Partnership (2010), *Ex-post Impact Assessment study concerning the 'Marie Curie Actions' under the Sixth Framework Programme*

Up to December 2010, the EU contribution of €1350 million funded 3705 MCA research projects. Among these, 1550 were addressing directly major societal challenges:

Figure 43: MCA budget distribution per Scientific Panel (Projects funded until December 2010)

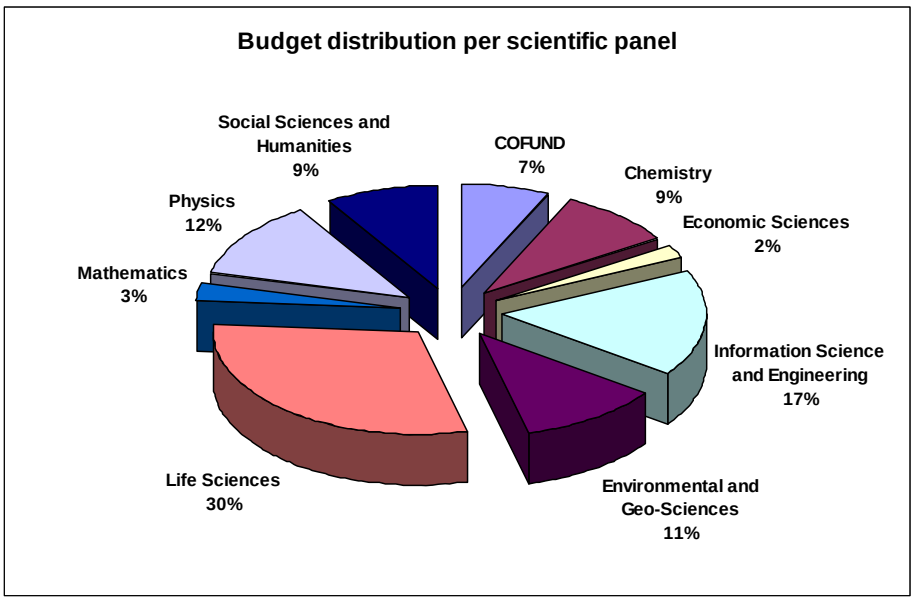
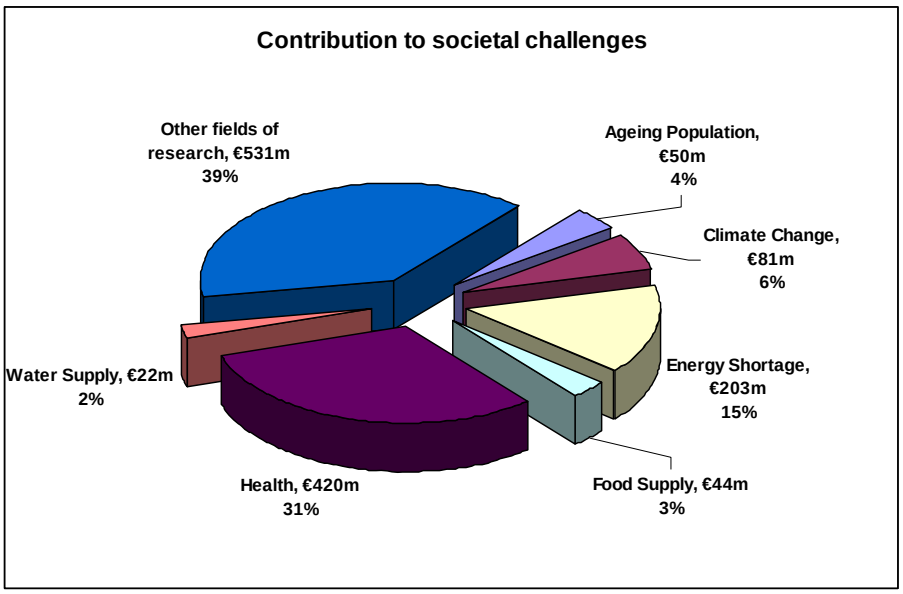


Figure 44: MCA contribution to the societal challenges (Projects funded until December 2010)



4.3.2 Focussing on researchers' careers

MCAs stand for excellence in research training, mobility and career development. The share of the programme participants going to the world Top 500 universities according to the Shanghai ranking is 67 % at European and 76 % at the world level (for outgoing fellowships). In a recent FP7 MCA survey (March 2011), nearly 72% of respondents (beneficiary level) consider that the career prospects of the Marie Curie fellows are higher than those of non-Marie Curie researchers.

The programme has created more than 50.000 new research positions so far (from FP3 to the end of 2010). At the end of FP7, the number of new research positions created by the support of MCAs is expected to reach 90.000. All MCA-supported researchers upgrade and diversify their skills, benefit from high-quality research training and transfer of knowledge activities

between countries and disciplines as well as between high-profile universities, research centres, socio-economic partners, business and SMEs. The Marie Curie fellows establish long-lasting transnational links for their further research careers. 90% of the Marie Curie researchers consider that the grant helped them to make significant new professional contacts, and 70% of them intend to maintain these links (FP6 Marie Curie Ex-post evaluation).

Over the lifetime of FP7, more than 10.000 new PhD candidates in Europe will be funded. They will benefit from excellent research and transferable skills training, preparing them for the jobs of the future. Their meaningful exposure to business via secondments or recruitment will enhance their career prospects and their employability in both the public and private sector.

Among the different MCAs, the two schemes Initial Training Networks (ITN) and Industry-Academia Partnerships and Pathways (IAPP) constitute 50% of the People Programme's budget and aim explicitly to tackle the 'innovation gap' by enhancing cooperation between universities and industry in terms of knowledge sharing, training and broad skills development. SMEs have also a major role to play in this context and they account for more than 50% of all businesses participating in the ITN and IAPP.

The MCAs promote professional standards for researchers and encourage employment conditions to be in line with the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers (Charter and Code). MCAs are seen as best practice: Marie Curie fellows enjoy full employment contracts with attractive salaries, full social security coverage and pension benefits; moreover, they benefit from state of the art working conditions, high level supervision and mentoring support.

The MCAs have a pronounced structuring impact on the European Research Area by aligning national resources, influencing national fellowship programmes design, and by setting standards of attractive employment conditions and open recruitments for all EU-researchers. The Marie Curie co-funding of regional, national and international programmes (COFUND), besides its significant numerical impact in terms of number of funded researchers, encourages regional and national fellowship programmes to systematically open for transnational mobility, and spreads good practices of Charter and Code by requiring applicant programmes to adhere to their principles.

The implementation of the Charter and Code is also supported via the Commission initiative 'Human Resources Strategy for Researchers' which is part of the *EURAXESS - Researchers in Motion*[30] package funded under the Specific Actions part of the People Programme. EURAXESS is a unique pan-European initiative with 38 participating countries, providing access to a complete range of information and support services for researchers wishing to pursue their research career in Europe. In 2010, the EURAXESS website had around 500.000 unique visitors and 5 million page views. Around 130.000 queries were treated addressing a broad range of topics.

4.3.3 Implementation of the calls

In the period 2007-2010, 38 calls were launched and concluded under the Specific Programme People, for which over 20.500 funding requests were submitted. Of these, nearly 5.500 proposals were retained for funding on the basis of their assessment by independent

[30] http://ec.europa.eu/euraxess/index.cfm

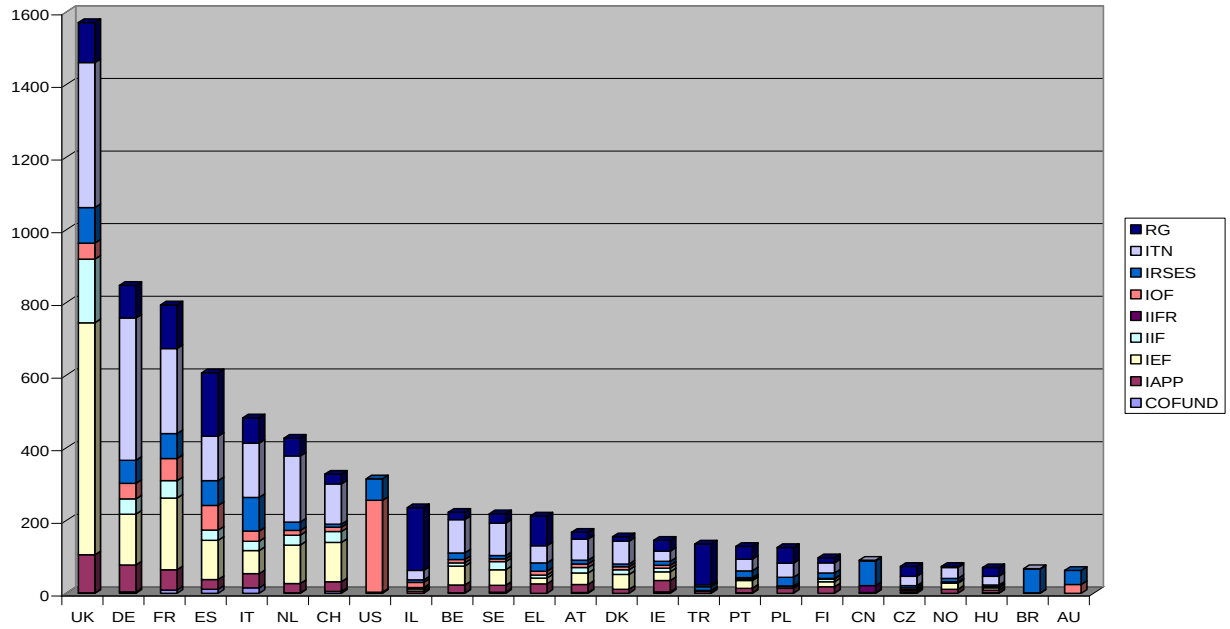
external experts and of the available budget. The success rate was on average 27%, ranging from 7% in ITN to 55-60% in the actions new to FP7 (IRSES and COFUND).

So far in FP7, more than 6.400 researchers have benefited from financial support under Marie Curie individual fellowships and grants, enhancing their career prospects. At the same time, near 400 ITN and IAPP networks have been selected for funding training and transfer of knowledge activities, involving additional 6.500 researchers. 81 regional, national and international programmes co-funded by the MCAs will offer another 5.000 fellowships for European researchers and 255 retained for funding IRSES networks would support nearly 3.000 years of world-wide mobility for research and managerial staff members.

38% of MCAs supported researchers are women, close to the 40% women participation objective stipulated in the People Programme. The MCAs promote equal treatment, family friendly measures (mobility allowance adapted to in case of family obligations), helping those who wish to resume a career in research after a break, especially through the newly introduced Career Restart Panel.

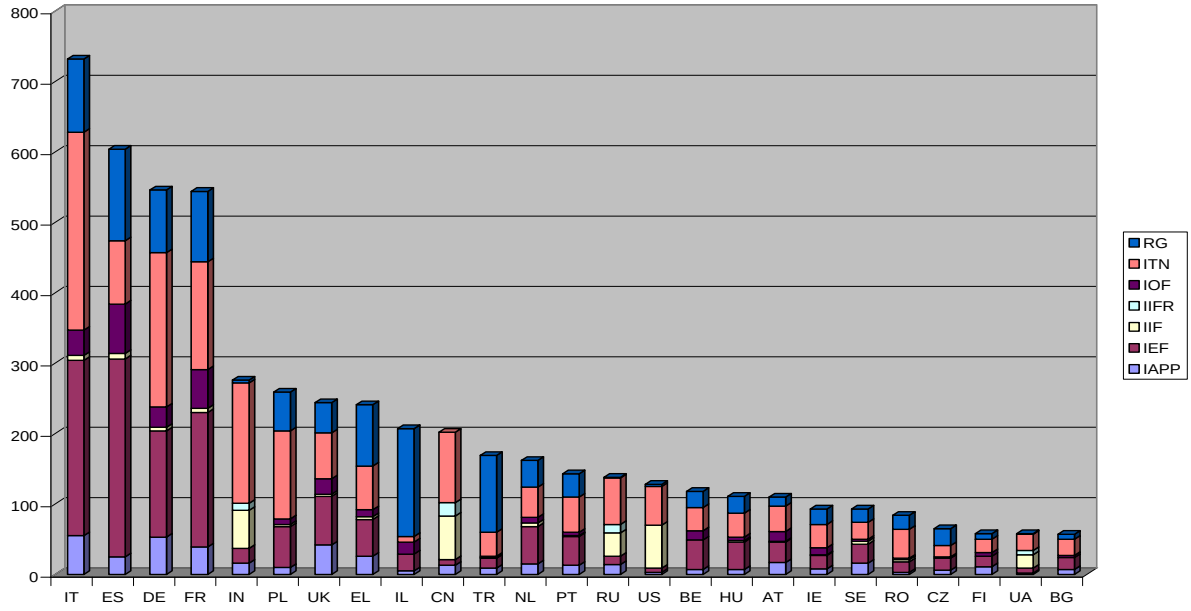
Based on the statistics of FP6 and FP7, researchers from 127 different nationalities have been involved in funded projects, and Marie Curie host organisations are spread worldwide in over 65 different countries. This testifies the world-wide openness of the programme and its important contribution towards enhancing the knowledge transfer and the quality of research undertaken. In terms of host organisations, so far under FP7 about 20% of the funded Marie Curie beneficiaries are localised in Third Countries. About 27% of the total number of projects funded under the MCAs has currently at least one non-European organisation involved. On the basis of these percentages, it is expected that by the end of 2013 more than 4.400 non-European institutions will be funded within international and inter-sectoral strategic partnerships with EU organisations.

Figure 45: First 25 host organisation locations funded under the FP7 Marie Curie actions[31]



[31] Data based on funded MCA projects until 4/04/2011.

Figure 46: First 25 nationalities of researchers funded under the FP7 Marie Curie actions[32]



4.4 EURATOM

The Seventh Euratom Research Framework Programme (Euratom FP7) covers a five-year period from 2007 to 2011. Euratom FP7 has two specific programmes, one covering *indirect* actions in the fields of fusion energy research and nuclear fission and radiation protection, the other covering *direct* actions in the nuclear field undertaken by the Commission's Joint Research Centre (JRC).

Research in both fission and fusion address the twin challenges of tackling climate change and the need for a sustainable, secure and affordable energy supply. Since 2007, Euratom research activities contribute to the implementation of the EU Strategic Energy Technology (SET) Plan which was endorsed by the Council on 14 March 2008 and adopted by the Parliament on 9 July 2008. Both nuclear fission and fusion are identified in the SET-Plan as energy technologies which Europe must maintain, develop and deploy in order to meet its short and longer term energy objectives.

4.4.1 Nuclear fission and radiation protection

The overall aim of the Euratom 'fission and radiation protection' programme[33] is to contribute to reaching Europe's long-term energy targets and to address societal concerns in areas such as nuclear safety, radioactive waste management and use of radiation in industrial and medical practices. The activities carried out in the programme are intended to support Member States' research programmes in these fields and to maximise EU-added value and benefit for Europe's citizens.

[32] Data based on funded MCA projects until 4/04/2011.

[33] For more details see http://ec.europa.eu/research/energy/euratom/fission/index_en.htm

Euratom devotes a significant part of its fission research budget to issues related to safety, e.g. safety of reactor systems (including lifetime extension) and fuel cycles, radiation protection, safe management of radioactive waste (in particular disposal), study of severe accidents and emergency management. The Commission also funds research in the area of probabilistic safety assessment, aiming to establish a harmonised approach at EU level for identifying and quantifying potential accidental sequences due to multiple human and system failures. The project currently co-funded in this field[34] is expected to have important impact on regulatory practice in Europe in the area of severe accidents. Numerous previous Euratom research projects have also contributed to risk assessment and calculation.

For maximum effectiveness, Euratom funding is focused on topics identified by the key technical forums bringing together nuclear research and industrial stakeholders across Europe. These are the Technology Platforms in Sustainable Nuclear Energy and Implementing Geological Disposal (SNETP and IGDTP) and MELODI – the Multidisciplinary European Low-Dose Initiative – in the area of risks from low and protracted exposure to ionising radiation. All three technical forums have come together around agreed visions for future R&D in their respective fields, and all have defined, or are defining, Strategic Research Agendas (SRAs) and Deployment Strategies to be implemented through joint actions and sharing resources. Some 30-40 Euratom projects across the full spectrum of Euratom activities are directly associated with key issues identified in the respective SRAs of the three technical forums, and these projects are also leveraging significant funding from Member States and industrial partners.

In May 2010, SNETP[35] officially released its Deployment Strategy at the European Nuclear Conference 2010 in Barcelona. The Deployment Strategy identifies the key actions necessary to implement the SRA and the funding requirements in order to allow for the long-term operation of the current fleet and support the deployment of the new generation of Light Water Reactors (Gen-II and III), prepare the next generation of Fast Neutron Reactors (Gen-IV) and develop non-electric applications of nuclear energy (cogeneration of electricity and heat for industrial processes).

Following the launch of the IGDTP[36] in 2009, 2010 saw intense activity on the development of the SRA. By the end of the year, the platform had expanded to more than 60 participating organisations representing stakeholders with a wide range of backgrounds – not only waste management organisations (WMOs) but also industry, research institutes, research centres and the academic community. The SRA will provide the basis for priorities regarding future R&D in order to achieve the vision that by 2025 the first geological disposal facilities for spent fuel, high-level waste, and other long-lived radioactive waste will be operating safely in Europe. This document therefore communicates the remaining research needs, but will also be an instrument for creating synergies, co-operation and coordination internally between the IGDTP participants and externally with activities taking place in other technology platforms and within other international forums. As with SNETP, Euratom is supporting the secretariat functions of the platform via a small FP7 coordination project.

Both SNETP and IGDTP are closely aligned with the objectives of the SET-Plan, and the European Sustainable Nuclear Industrial Initiative (ESNII) formally launched at the SET-Plan conference under the Belgian Presidency on 15 November 2010, constitutes one of the three technology pillars of SNETP.

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[34] ASAMPSA 2, for more details see http://www.asampsa2.eu/

[35] For more details see http://www.snetp.eu/

[36] http://www.igdtp.eu/

The Euratom programme was also instrumental in establishing MELODI[37] (founded in 2010 as a registered association with 15 members), which focuses on the risks from low and protracted exposure to ionising radiation and brings together the major national funding agencies supporting radiation protection research in Europe. The growing use of radiation in medical diagnostic and therapeutic techniques is responsible for a significant rise in doses to the public, and MELODI will, in particular, ensure the necessary multidisciplinary approach across the medical sector to understanding the risks involved. Based on the outcomes of the MELODI workshops 2009 and 2010 the SRA is under development.

4.4.2 Fusion energy

The transition to clean and sustainable energy production is a huge challenge for Europe and the world as a whole. The challenge will grow in the coming decades as global energy demand increases. Fusion[38] is one of the few options for realising future large-scale energy production which is safe, sustainable, carbon-free and with security of supply. Europe has an integrated fusion R&D programme which pools the resources of all Member States and Switzerland in the quest to realise fusion energy. This European integrated programme and its flagship experiment, the Joint European Torus (JET) formed the basis for the design of ITER, an experimental facility to demonstrate the scientific and technical feasibility of fusion, which is currently being constructed in Cadarache, France, through a seven-partner international collaboration[39].

In 2010, Europe achieved a number of key milestones for ITER through the Joint Undertaking 'Fusion for Energy' (F4E)[40], including signature of a contract for the supply of seven sectors of the ITER vacuum vessel, excavation work for the tokamak building, and on-schedule progress in the construction of the magnetic coil manufacturing building. The ITER project faced serious problems, both as regards cost containment and management/governance. The cost of the project has significantly exceeded the original estimates on which the EU budget commitment was based. In May 2010, the Commission presented a Communication to the European Parliament and the Council on the status of ITER and a possible way forward[41]. In its conclusions of 12 July 2010, the Council acknowledged this cost increase and capped the EU contribution at €6.6 billion for the construction period. On this basis, Euratom joined ad referendum the consensus on the adoption of the so-called ITER Baseline (the project's scope, schedule and cost) during the meeting of the ITER Council of July 2010. In parallel, the Commission issued a proposal to modify the Multiannual Financial Framework so as to provide €1.4 billion of additional funding for 2012 and 2013[42]. The Council agreed to an additional €1.3 billion, but the European Parliament did not vote on the issue, and the debate will continue in 2011. In its July 2010 conclusions, the Council also called for urgent measures to improve the governance and management of the ITER project. It requested that the Commission, in close collaboration with the Member States, address the way in which they and F4E implement their responsibilities and tasks. A Commission Staff Working Paper[43], transmitted to the Council and Parliament on 9 November 2010, stated that the

[37] http://www.melodi-online.eu/

[38] For more details see http://ec.europa.eu/research/energy/euratom/fusion/index_en.htm

[39] For more details see http://www.iter.org/;

[40] For more details see http://fusionforenergy.europa.eu/

[41] COM(2010)226 of 4.5.2010 and its accompanying Staff Working Document SEC(2010)571 of 4.5.2010

[42] COM(2010)403 of 20.7.2010, replaced by COM(2011)226 of 20.04.2011

[43] 'Towards a robust management and governance of the ITER project' SEC(2010)1386 of 9.11.2010

Commission intends to propose amendments to the statutes of F4E in order to enhance the governance structure, as well as to acknowledge the specific role of the Commission.

A major enhancement of the JET facility began in late 2009 and has been continued in 2010[44]. Following this upgrade, experiments in JET will help mitigate technical risks for ITER and prepare for its operation. During the upgrade, all the critical internal components of the JET vacuum vessel are being replaced to replicate the ITER in-vessel components, while diagnostics, control and heating capabilities are being upgraded. Approximately 350 European scientists from the fusion Associations and 100 international collaborators participate in the JET programme. In 2010 they participated in the enhancement programme, completed analyses of 2009 data and made extensive preparations for operation in 2011. In addition, the 26 fusion Associations focussed their facilities and programmes on support to ITER as well as addressing specific longer term fusion development issues.

A Fusion Industry Innovation Forum was launched in 2010 with support of the Commission to involve industry in early preparatory work on a fusion power plant, to support technology transfer and spin off and to develop fusion skills and capacities to provide a future European fusion industry.

4.5 Joint Technology Initiatives

Joint Technology Initiatives (JTIs) are a pioneering approach to develop public-private partnerships set-up at European level in order to leverage more R&D investments from Member States, associated countries and industry, to boost European competitiveness and to reduce fragmentation of EU R&D.

JTIs arise primarily from the work of European Technology Platforms. In a small number of cases, European Technology Platforms achieved such an ambitious scale and scope that they required the mobilisation of large public and private investments as well as substantial research resources to implement important elements of their Strategic Research Agendas (SRAs).

The importance of European Public-Private Partnerships in research for the long-term, sustainable development of the EU is recognised in the Commission's Communication on "Mobilising private and public investment for recovery and long-term structural change: developing Public Private Partnerships"[45].

In practical terms, a JTI is a legally established body, a Joint Undertaking (JU), set up on the basis of Article 171 of the EC Treaty (which became Article 187 of the Treaty on the Functioning of the EU (TFEU)). For the areas addressed by JTIs, SRAs have been developed through intense collaboration between industry, including SMEs, the research community, civil society organisations and other stakeholders. JTI members are jointly responsible for monitoring progress, guiding the evolution of the initiatives and adapting the work programmes in response to changing needs. In this respect, each JTI is accountable to its founding members as well as to the Council and the European Parliament. Moreover, interim and final evaluations of each JTI with the assistance of independent experts are foreseen.

[44] For more details see http://www.jet.efda.org/

[45] COM (2009) 615, 19.11.2009.

JTIs have a dedicated budget and staff. The Joint Undertakings (JU) provide a framework for the public and private players to work and take decisions together. They organise calls for proposals, oversee selection procedures and put in place contractual arrangements for projects set-up to implement each JTIs' research agenda. JTIs allow funds from different sources to be jointly managed and are responsible for communication and dissemination activities. Each Joint Undertaking includes a Governing Board, an Executive Director and staff, as well as internal or external advisory bodies.

The five JTIs are:

- *Clean Sky* in the field of aeronautics envisages that innovative, greener technologies will be demonstrated and validated; new technologies are being developed, test flights will be conducted; the results of successful demonstrators can be exploited by aeronautics companies.
- *Innovative Medicines (IMI)* aims to provide new methodologies and tools for accelerating the development of safer and more effective medicines for patients, by focusing research on developing and validating new techniques and methods.
- *ARTEMIS* aims to help European industry consolidate and reinforce its world leadership in Embedded Computing Systems technologies, allowing to build computing systems into various kinds of electronic equipment or machines.
- *ENIAC* seeks to develop key technologies for nanoelectronics, and key components and devices across different application areas in order to strengthen European competitiveness and sustainability, and to facilitate the emergence of new markets and societal applications in sectors such as health, transport and energy.
- *Fuel Cells & Hydrogen (FCH)* with the overall objective of speeding up the development and deployment of hydrogen supply and fuel cell technologies.

In 2010, the work within the Commission focused on a number of practical issues such as identification of a long-term housing solution, IT infrastructure and tools, implementation of accounting systems, recruitment of staff and staff training, finalising the General Financing Agreement with the Joint Undertakings and concluding various Service Level Agreements (SLA).

4.5.1 Clean Sky Joint Undertaking

Clean Sky (CS)[46] is a public private partnership aiming to develop environmentally friendly technologies impacting all flying segments of commercial aviation with the goal of contributing to the ACARE targets for reduction of emissions and noise in Air Transport in Europe, thus contributing to improving the Air Transport system worldwide. CS shall spearhead the contribution of aviation in minimising the impact of anthropogenic activities on climate change, thus providing socio-economic benefits to European citizens and society and increase the competitiveness of the European aeronautical industry.

To implement CS, the European Community, represented by the Commission, and the major aeronautical stakeholders in Europe have agreed to set up a Joint Undertaking (JU) as an autonomous legal entity for the period up to 2017. The CS JU was adopted by the European Council in December 2007.

[46] http://www.cleansky.eu/

The objective of the CS JU is achieved through the coordination of research activities that pool resources from the public and private sectors and are carried out by the main aeronautical stakeholders (private CS members) directly, and by partners selected following the response to open and competitive Calls for Proposals. The JU's key objectives, as described in the Annual Implementation Plan (AIP), are twofold comprising operational objectives, which are the milestones and deliverables defined for each Integrated Technology Demonstrator (ITD), and management objectives, at the level of the JU, which include research activities, administration and finances.

The year 2010 work programme was dominated by the preparation of different elements for ground and flight test for the High Speed Demonstrator Passive, the continuation of the feasibility study for the Counter Rotating Open Rotor engine (CROR), and a number of configuration studies related to the integration of innovative engine concepts for large transport aircraft and for business jets. A further down selection of concepts for high performance high-lift concepts that can be integrated into a smart wing design had taken place in 2010. Active loads control activities have been studied in order to support the concept of a smart wing.

The major achievements of the year 2010 are:

- The aerodynamic definition of the laminar wing design. A lot of specific design items and technical details have been checked in order to ensure a flight worthy layout of the wing. Permit to flight activities have been included at this stage as well. Structural laminar wing concepts have been proposed and approved.
- The feasibility phase for the CROR-engine integration and CROR demo-FTB including numerical simulation, and subscale ground testing, has been performed.
- The decision to launch the design and manufacturing of the High Speed Demonstrator Passive flight test components has been taken with only a few action items to be completed.
- The first laminar wing ground demonstrator (the upper wing panel) has been successfully manufactured and activities for further feature demonstrators has been launched. The SMART Fixed Wing Aircraft (SFWA) ITD Annual Progress Review has been carried out, showing quite positive results; actions that deemed to be necessary in order to further improve the activities have been clearly formulated.
- The Advance Lip Acoustic Panel was flown successfully on an A380 aircraft with RR Trent 900 engines (first flight test within Clean Sky programme).
- Flight tests were carried out with a Falcon F7X aircraft, which proved the technology to visualise laminar flow on real structures in flight by an infra-red camera.

The legal framework of the Grant Agreements for members and for partners was modified to take into account the Lisbon Treaty. Five Calls were launched in 2010, for a total value of € 50,8 million and a funding value of € 30,7 million. 112 topics were addressed, and the SME participation has been high throughout at the level of 40% of participants. The CSJU rules allow for single applicants, not only consortia, and in the order of 250 partners were selected.

A communication and dissemination strategy was adopted by the Governing Board in June 2010. The CS initiative was promoted at different external industrial events, such as the ILA Berlin Air Show, "Flyg med Framtid" in Stockholm, the ICAS Conference, Farnborough Air Show, Helitech, the Aeroweek, the ASD Convention, the Imperial College's Green Aviation conference, etc. A CS communication network was established to gather all CS members on communication issues. The first meeting took place in October 2010. The CS website is being regularly updated with timely information such as press releases, calls for proposals, regular news.

4.5.2 Innovative Medicines Joint Undertaking (IMI)

The Innovative Medicines Initiative (IMI)[47] was set up in 2007 as a Joint Undertaking (JU) between the European Commission and the umbrella organisation of the European pharmaceutical industry EFPIA (European Federation of Pharmaceutical Industries and Associations) to implement the Joint Technology Initiative (JTI) in the area of pharmaceutical research. IMI aims to provide new methodologies and tools for accelerating the development of safer and more effective medicines for patients, by focusing research on developing and validating new techniques and methods.

On 16 November 2009 IMI became autonomous and so 2010 was the first full year of independent operation of the IMI JU.

The core task of IMI is the implementation of the Scientific Research Agenda (SRA) defined jointly between the pharmaceutical industry and stakeholders, represented by the Scientific Committee and the States Representative Group. The research agenda is implemented through calls for proposals.

The original SRA for IMI dates from 2008 and since then there has been considerable scientific progress. Also, several of the priorities have already been implemented through the initial three calls of IMI. The process for revising the SRA under the leadership of the IMI Scientific Committee was launched during the year. EFPIA, the States Representatives Group and independent experts contributed to the revision of the SRA. This process is being concluded in 2011. The revised SRA will be the basis for the remaining calls of IMI.

As regards implementation of calls, at the beginning of the year IMI made pre-financings for grant agreements for projects that had been selected from the IMI first call, where the previous steps had been conducted under the responsibility of the Commission. The remaining projects from the first IMI call were launched in 2010 and the first annual reports for most projects were received during the year (12 month reporting).

The second call for proposals had been launched in 2009 with 9 topics. The evaluation of the proposals received was conducted by IMI JU at the beginning of 2010. In total, 124 Expressions of Interest involving 1.188 applicants from 39 different countries were received. The first top-ranked EoIs, for each of the nine topics, were invited to prepare a full project proposal with the pre-formed EFPIA consortium. The full proposals were considered to be a constructive development of the EoIs. The merging of two projects into one was recommended, so that in the end the second IMI call led to the funding of 8 projects for an overall contribution of € 171,1 M. of which € 80,7 M from IMI JU of and € 65,8 M, of in kind contribution from EFPIA companies. The negotiated grant agreements were signed and the projects launched at the beginning of 2011.

For the third call (with a financial contribution from IMI JU € 112,25 M and an estimated in kind contribution from EFPIA companies of € 65,6 M) IMI organised the discussions on the preparation of the call topics (areas defined by EFPIA, the Scientific Committee, States Representative Group and stakeholders contributing to the definition of the topics) and the call documents. The third call was launched with 7 topics on 22 October 2010. The evaluation of the submitted EoIs has taken place at the beginning of 2011. IMI JU is currently completing the second stage of the evaluation process.

[47] http://www.imi.europa.eu/

The IMI communication activities in 2010 were centred on continuing to build the relationships with its stakeholders. In addition to two successful major IMI-run and IMI mission-centred events held in Brussels during the year, namely the Stakeholder Forum and the Open Info Day, there were numerous presentations at conferences, symposia and specialist gatherings. The website was re-launched in a new design and continuously updated and traditional communication channels such as press releases and writing of articles were also used.

The overall responsibility for the operations of the IMI JU rests with the Governing Board, where the two funding members European Commission and EFPIA have equal voting rights. The Board met three times during the year and adopted the necessary decisions and provided strategic guidance to IMI.

With the operational responsibility having been transferred to the autonomous IMI Executive Office, the work on IMI within the Commission moved towards accompanying the activities of the Executive Office, notably through the representation in the Governing Board. During 2010 the Commission was still very active in helping to ensure the long-term housing solution for IMI and all the JTIs. The partnership between the European Commission and EFPIA is working well. The first Interim Evaluation of IMI has taken place in 2010 and the expert panel has provided a positive evaluation with some suggestions to improve IMI.

Initial results are emerging from the first call projects, which demonstrate that IMI is starting to fulfil its goals of accelerating the drug development process.

4.5.3 ARTEMIS (Embedded Computing Systems) and ENIAC (Nanoelectronics) Joint Undertakings

The Commission, being a member of the Public Authorities and Governing Boards of ARTEMIS[48] and ENIAC[49], ensures an active follow-up of their activities. In 2010, the Commission also worked on finalising the arrangements in view of granting to ENIAC in May the operational capacity to implement its budget (this capacity is commonly referred to as 'autonomy'), as it was the case in 2009 for ARTEMIS.

As foreseen by the ARTEMIS and ENIAC regulations, the Commission mandated a panel of independent experts to carry-out a first Interim Evaluation of ARTEMIS and ENIAC[50]. In their report[51], the independent experts recognised that these industry-led tri-partite partnerships are major achievements and recommended that research and technological development in the field of embedded systems and nanoelectronics should continue to be co-ordinated at European level.

The panel concluded that all parties should recommit to the strategic aims of the JTIs and issued a number of specific recommendations to the Member States, the Industrial Associations, the European Commission and the Joint Undertakings, aiming at improving further the JTI model.

[48] http://www.artemis-ju.eu/

[49] http://www.eniac.eu

[50] http://ec.europa.eu/dgs/information_society/evaluation/rtd/jti/

[51] http://ec.europa.eu/dgs/information_society/evaluation/rtd/jti/artemis_and_eniac_evaluation_report_final.pdf

The Commission's response to the ARTEMIS and ENIAC evaluation report was published in December 2010[52].

ARTEMIS

The major activity of the ARTEMIS Joint Undertaking in 2010 concerned the launch of its third Call for R&D proposals. Call 2010 was the first ARTEMIS Call to be completely executed by the autonomous ARTEMIS-JU staff. At the same time, all running projects from the Call 2008 underwent one or more project review meetings, and the negotiations and project launches of the Call 2009 projects were successfully completed.

Similarly to the 2009 Call, the 2010 Call was a 2-step Call. The first step, the Project Outline phase demonstrated the still increasing interest for ARTEMIS with over 1240 participations in 72 eligible proposals, including a strong SME presence, for a total R&D value of 168 M€. National initial commitments to the 2010 Call (before negotiations) amounted to € 60,22 M and were complemented with € 33,12 M of Union funding (calculated as a 55% of the national commitments), resulting in about € 93,34 million of public funding at the time of the Call.

In the second step of the submission process 47 Full Project Proposals were received. The limited available funds from the ARTEMIS Member States, combined with the huge oversubscription in some countries, and the mismatch between the demand of the retained projects and the available funding in the concerned countries, resulted in a mandate to negotiate only for 11 proposals. 10 negotiations were successfully completed and projects have started their work in the beginning of 2011.

During 2010, there has been a continuous interaction between the ARTEMIS JU team and ARTEMIS Industry Association (ARTEMISIA). Intensive collaboration contributed to the success of many events along the year: The ARTEMIS Spring Event in Nuremberg, the ARTEMIS Summer Camp, the ICT 2010 event in Brussels and the ARTEMIS-ITEA2 Co-Summit in Ghent.

ENIAC

Throughout 2010, an ENIAC Working Group elaborated the policy guidance document 'Enhancing the competitive advantage of Europe in Nanoelectronics'. In parallel, AENEAS (Association for European Nanoelectronis Activities) worked with CATRENE (Cluster for Application and Technology Research in Europe on NanoElectronics) to elaborate a joint document on 'Vision, Mission and Strategy for European Micro- and Nanoelectronics' that aims at including a comprehensive European strategy for semiconductors, with the ENIAC JU Multi Annual Strategy Plan (MASP) and the CATRENE White Book as subsets. The Governing Board adopted on 18 November 2010 the new version of the MASP 2010, relying upon these documents.

Based on the strategic directions defined in the MASP 2010, the ENIAC JU launched its third calls for R&D project proposals. The R&D topics were selected in such a way as to ensure a broad participation of the Member States, while the projects aimed to include the complete value chain, from technology development to applications that would yield commercially successful products. The topics and proposals could be grouped in four major areas: Advances in electric mobility, applications driving advances in n and n+1 CMOS technology nodes,

[52] COM(2010) 752 of 16 December 2010 (http://ec.europa.eu/dgs/information_society/evaluation/rtd/jti/fullreport_firstinterimevaluation_artemis_enia_jti.pdf)

energy efficient ecologically benign future manufacturing technologies and alternative energies value chain and efficient power grid.

The Call 2010 was a 2-step call. The first step, the Project Outline phase yielded 34 proposals. For the Full Project Proposal phase, 24 proposals were received and 21 evaluated as above threshold. The total requested cost for these 21 proposals 482,8 M€. The total requested national funding amounted to 156,8 M€, and the total requested JU funding was 80,7 M€. The total number of participants was 212 from 145 different organisations, supported financially by 17 ENIAC Member States. Of the 21 evaluated as above threshold, 10 proposals have been selected for funding. Eleven proposals above threshold could not be funded because the available budget has been exhausted.

The successful cooperation between ENIAC JU and the Industry Association AENEAS contributed to the success of several events along the year e.g. The European Nanoelectronics Forum 2010 (organized jointly by ENIAC JU and EUREKA CATRENE cluster), AENEAS and CATRENE Spring Summit 2010.

4.5.4 Fuel Cells & Hydrogen Joint Undertaking (FCH JU)

The Joint Undertaking for Fuel Cells and Hydrogen (FCH JU)[53] was established by Council Regulation (EC) No 521/2008 of 30 May 2008. Since that date the Commission was responsible for the interim management of the JU until 15th November 2010, when it reached the operational capacity to implement its own budget. The Executive Director was appointed in September 2010.

At the end of 2010, the FCH JU and its key bodies were fully operational. In particular, the Programme Office was almost completely resourced and the building for the permanent premises in Brussels had been rented. The administrative framework was completed with the adoption of the management and internal control systems and the implementation of the accounting system. The Annual Implementation Plan (AIP) for 2010 was adopted by the Governing Board on June of that year. The revision of the Multi-annual Implementation Plan (MAIP), a real need for the next AIPs to be defined, started on November 2010 involving all the stakeholders and bodies of the FCH JU.

The FCH JU projects are funded with financial contributions from the EU and from in-kind contributions from the participants. To date there have been three annual calls for proposals completed in 2008, 2009 and 2010. In 2010 there were 44 ongoing FCH JU projects (with cumulative grants of ~100 million Euros) engaging some 250 different beneficiaries. The 2010 call was fully managed by the FCH Programme Office; the negotiations for the 27 projects selected (estimated grants of 89 million Euros) should be completed by the end of summer 2011. With a few exceptions, the overall coverage of topics to date has been as expected and the quality of proposals good. A large scale demonstration of vehicles and buses project ("*CHIC*") launched in April 2010 has become an international reference.

After the first two FCH JU calls of proposals, it became clear that due to the specific matching requirement the FCH JU funding levels turned out to be considerably lower than expected. In order to decrease the gap to funding levels in FP7 and to properly recognise the role of the research community as a shareholder in the JU, an amendment of the Council Regulation was initiated in autumn 2010. The amendment is expected to be adopted in the 3rd quarter of 2011.

[53] http://www.fch-ju.eu/

The FCH JU undertook a number of communications initiatives in order to disseminate its activities and the opportunities offered by the calls for proposals, making the FCH JU known to all stakeholders and raising political awareness on the technology readiness and commercialisation prospects of the technologies. A new website has been developed. In November 2010, the FCH JU stakeholders General Assembly took place in Brussels with good success. Around 350 people participated of whom more than 40% came from industry.

Over the last years, the Fuel Cells and Hydrogen industry has made considerable progress both in terms of technology development and commercial deployment. Industry commitment remains high, despite the crisis, as shown by a recent techno-economic assessment on automotive applications. This study, sponsored by a strong coalition of European companies, uses factual data from the automotive industry and concludes that Fuel Cell Electric Vehicles (FCEVs) and Battery Electric Vehicles (BEVs) have significant potential to reduce CO_2 and local emissions and will be viable and complementary alternatives to conventional vehicles with Internal Combustion Engines (ICEs) by 2025 or earlier with appropriate tax exemptions and/or incentives. A similar initiative is being prepared for stationary applications.

The first Interim Evaluation of the FCH JU started in December 2010, involving a panel of independent experts, with the objective was to assess the effectiveness, efficiency and quality of the FCH JU operations. The evaluation process will be harmonised between the IMI, Clean Sky and FCH JUs.

4.6 Article 185 (ex-169) Initiatives

Article 185 Initiatives are set up at European level to address strategic areas where research and innovation are essential to European competitiveness. They have been introduced as another means of implementing the Seventh Framework Programme in areas selected in the Specific Programmes. Article 185 Initiatives support the scientific, financial and management integration of national research and development programmes by the participation of the European Union in joint programmes undertaken by several Member States. They bring together national research and development programmes to define common objectives of wide societal relevance, and they combine funding and knowledge in order to fulfil these objectives. So far, five Article 185 Initiatives have been set up. The first, the European Union Developing Countries Clinical Trials Platform was set up under FP6, with an EU contribution amounting to a total of € 200 million and four under FP7, EUROSTARS, Ambient Assisted Living (AAL), Metrology (EMRP) and BONUS, with the total EU contribution amounting to € 500 million).

EUROSTARS addresses research and development performing SMEs, and the Ambient Assisted Living (AAL) Joint Programme aims to use intelligent products and provide remote services, to extend the time elderly people can live independently in their home environment. EUROSTARS is undertaken by 32 countries, in the context of EUREKA, with a planned overall public contribution of € 400 million, € 100 million coming from FP7. AAL is implemented by 20 EU Member States and 3 Associated States. The programme's planned total budget is € 700 million, with € 150 million funded by FP7. Both initiatives have been successfully launched in 2008 and are progressing well since with several calls for proposals.

Interim evaluations of both Eurostars and AAL have been completed during 2010. These evaluations have shown that the use of Article 185 of the TFEU has created substantial leverage effect sand real European added value by integrating national programmes and pooling resources.

The European Metrology Joint Research Programme (EMRP), and BONUS, a Joint Research Programme on Baltic Sea research were further advanced during 2010.

EMRP, for which the co-decision process successfully ended in July 2009, is an initiative undertaken by 22 countries raising € 400 million of public funding with € 200 million coming from FP7. It responds to growing demands for cutting-edge metrology, particularly addressing grand challenges like metrology for environment, energy or health or emerging technological areas, targeting innovation and scientific research and support for policy. EMRP is the first Article 185 Initiative to be developed using ERA-NET Plus as a bridging measure. A first cycle of calls for the years 2009 and 2010 is closed and a first annual report for the year 2009 has been submitted.

The BONUS Joint Research Programme, for which the Commission proposal was adopted in October 2009 and the co-decision process was finalised in September 2010, involves all eight EU countries surrounding the Baltic Sea and aims at creating a cooperative, interdisciplinary, well-integrated and focused trans-national strategic research programme for the Baltic Sea region. The FP7 contribution amounts to € 50 million in total. In this case also, an ERA-NET Plus action has been used for the first joint call. The implementation of the programme was divided into a strategic phase (lasting 18 months) and an implementation phase (which will last for a minimum of 5 years) for which an implementation agreement between the Commission and the EEIG will need to be signed.

With regard to the EDCTP (European & Developing Countries Clinical Trials Partnership), launched in 2003, under FP6 (providing a total of € 200 million for this initiative) and aimed at accelerating the fight against HIV/AIDS, malaria and tuberculosis in developing countries, the Commission adopted a Communication on the Progress Report in October 2008. A no-cost extension until the launch of EDCTP II as of January 2014 has been adopted. The Commission will reflect on the further steps required in relation to this Initiative on the basis of the five-year performance evaluation completed by independent experts in 2009. The Belgian EU Presidency organised a consensus meeting on EDCTP II in September 2010, involving participating Member States and the Commission to discuss a future research agenda of this programme which will be enlarged in scale and scope.

4.7 Risk-Sharing Financial Facility (RSFF)

In the 'Political guidelines for the next Commission', President Barroso mentioned the RSFF as "an excellent example to build on" in order to "improve the blending between grants from the EU budget and EIB loans" and, in general, to further intensify the partnership between the European Commission and the European Investment Bank (EIB). The Innovation Union Flagship Initiative proposes a risk-sharing debt facility (a kind of "renewed RSFF") as one of the key future instruments for research and innovation. Following the Interim Evaluation of the RSFF, the European Council, in its conclusions of 4 February 2011[54], asked for "scaling-up the RSFF".

The RSFF is an innovative credit risk-sharing scheme by which the Commission and the EIB jointly covers, through capital allocations and provisions, the risks that the EIB bears when lending directly or when guaranteeing loans that are made by EIB intermediaries. With the objective of substantially increasing European research, development and innovation

[54] Reference: EUCO 2/11 4 February 2011 Conclusions, page 8, point 22

(R&D&I), by way of increased support for loan financing, up to EUR 1 billion may be made available from each of the European Commission and the EIB for the RSFF over the period 2007-2013[55]. The RSFF covers a multitude of risks associated with loans provided for investments in R&D&I. This scheme is projected to allow, through the financial leverage effect, for making available loan financing in the order of EUR 10 billion. RSFF is managed by the EIB and monitored by the EC in terms of especially the eligibility of projects and budget allocation out of FP7.

The RSFF targets European research-intensive entities, including SMEs and research infrastructures, irrespective of size and ownership, which contribute to the objectives of FP7. The financing may be provided either to entities active in R&D&I or to individual research-related projects, often at a demonstration stage. Small companies and projects involved in R&D&I may benefit via intermediation of financial institutions with which the EIB has established risk-sharing agreements.

In 2010, an independent expert group (IEG) conducted the Interim Evaluation of the RSFF. The experts concluded that the RSFF has been successfully introduced. The RSFF appeared as a model example to be further developed and intensified. The IEG made 10 recommendations: The experts called in particular for the immediate release of the second tranche of EUR 500 million from FP7 contribution to RSFF (recommendation 1), for improving the participation of some under-participating target groups (SMEs, Universities, Research Infrastructures) (recommendations 2 to 4), and for scaling up the RSFF (recommendations 5, 7, 9 and 10)[56].

In its Communication on the FP7 and RSFF Interim Evaluations[57], the Commission has welcomed the detailed and thorough analysis of the IEG and endorsed in particular recommendation 1 (immediate release of the 2nd tranche of EUR 500 million) and recommendations 2 to 4 (further improvement of the participation of some under-participating target groups (SMEs, Universities, Research Infrastructures).

The success of the implementation of the RSFF has been politically recognised. By voting the EU Budget 2011, the budgetary authority provided their agreement of principle on the release of the second tranche (budget of EUR 250 million for 2011). In its conclusions of 9 March 2011, the Competitiveness Council recognised the quantitative and qualitative success of the RSFF, agreed with the additional EUR 500 million to be released for the period 2011-2013 and called for measures to improve the participation of under-represented target groups (SMEs, Research Infrastructures).

In terms of awareness-raising activities, between 2007 and 2010, the RSFF benefits were presented at more than 80 seminars, workshops and conferences in a large and ever-increasing number of European countries. The awareness-raising activities also targeted specific events for European research infrastructures, notably ESFRI-list projects (European Strategy Forum on Research Infrastructures). In 2010, the EIB and the RSFF team in the Commission have focused their awareness-raising activities on key industrial sectors in need for funding as well as those countries not yet covered by RSFF events. The RSFF website is regularly updated with presentations of concrete projects financed by the RSFF. The RSFF team continues to

[55] The foreseen overall budget is composed as following: a first tranche of EUR 500 million allocated for the period 2007-2010 and a second tranche of EUR 500 million to be released following an interim evaluation for the period 2011-2013 (see below).

[56] The IEG report is available at: http://ec.europa.eu/research/evaluations/index_en.cfm?pg=home

[57] COM(2011)52 – 9 February 2011.

present the RSFF within DG RTD and other DGs of the research family, either in the form of specialised presentations or FP7 training sessions. The Interim Evaluation Expert Group also presented their conclusions and recommendations to the relevant FP7 Programme Committees.

Demand for RSFF loans to finance R&D and Innovation projects exceeded initial projections by far, with over EUR 8,7 billion already approved and EUR 6,3 billion signed by the end of 2010. The RSFF addresses a real gap in the market.

Already 87 projects have been approved in 20 European countries (MS and FP7 Associated Countries) in different sectors ranging from Energy to ICT, Engineering/Industry and Health as well as Research Infrastructures.

RSFF loans have been provided to a number of different beneficiaries, mainly mid-sized and larger companies which invest heavily into Research, Development and Innovation. Furthermore, SMEs, single stand-alone projects and new concepts to conduct R&D and Innovation ("Open Innovation" approach of Philips involving a number of SMEs and research institutes at the Eindhoven Campus/The Netherlands) have been supported through RSFF loan finance. It is noteworthy that, following much preparatory work, the first RSFF loans for research infrastructures have been signed and should be followed by other signatures in the near future.

On the basis of the experts' recommendations, the RSFF team is currently working in close relationship with the EIB on the future developments of the RSFF, to notably better address the needs of SMEs and Research Infrastructures.

Table 15 below provides the breakdown by year for approved loans and signed loans respectively.

Table 15: RSFF operations approved and signed by the EIB since the launch of the RSFF.

RSFF OPERATIONS	2007	2008	2009[58]	2010	TOTAL
Number of Approved RSFF Operations	14	14	37	22	87
Related Approved Loan Volume (€M)	887,4	1.501,7	4.263,5	2.136,3	8.788,9
Number of Signed RSFF Loan Agreements	9	12	25	21	67
Related Loan Volume (€M)	459,0	1.024	2.984,2	1.838,50	6.305,62

4.8 Information and Communication Technologies (ICT)

2010 was the fourth year of implementation of the FP7 Information and Communication Technologies theme.

Overcoming the fragmentation of the European research structure is among the main objectives of the FP7 ICT programme; this objective is actively pursued by the collaborative nature of the projects promoted. As of January 2011, the FP7 ICT theme has funded more than 4 billion Euros to 1.188 projects that involve 3.856 different organisations in 101 countries, including all the 27 Member States of the EU. The projects incorporate 11.758

[58] The mentioned data for 2009 (source: European Investment Bank) take into account any final technical adjustment.

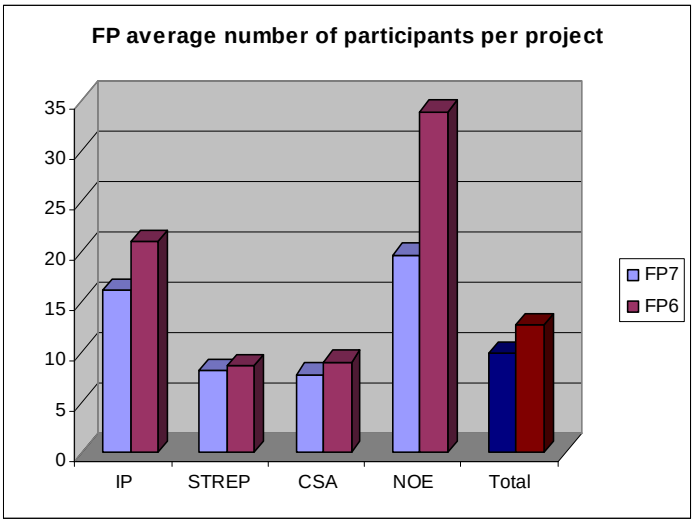
participations with an average project funding of 3,4 million Euros and an average funding per participation of 340.000 Euros. Table 18 below presents FP7 ICT key figures compared to FP6.

Table 16: ICT in FP6 and FP7 and its evolution.

ICT in FP6 and FP7	FP6	FP7	Evolution
EC Funding	4.041.739.264 €	4.008.086.143 €	- 0,8%
Number of Projects	1.128	1.188	+ 5,3%
Participations	14.330	11.758	- 17,9%
Distinct Participating Organisations	4.487	3.856	- 14,1%
Average Project Size	3.583.102 €	3.373.810 €	- 5,8%
Average EU Funding per Participant	282.047 €	340.882 €	+ 20,9%

Compared to FP6, the balance has shifted more towards STREPs, while IPs attract less funding and fewer participants. Consortia tend to involve fewer partners (9,9 instead of 12,7 under FP6, see also Figure 44) but they receive more or less the same amount of funding so that the average funding per partner shows a considerable increase (+20,9%). Several consortia build on previous experiences of collaboration and tend to reiterate partnerships.

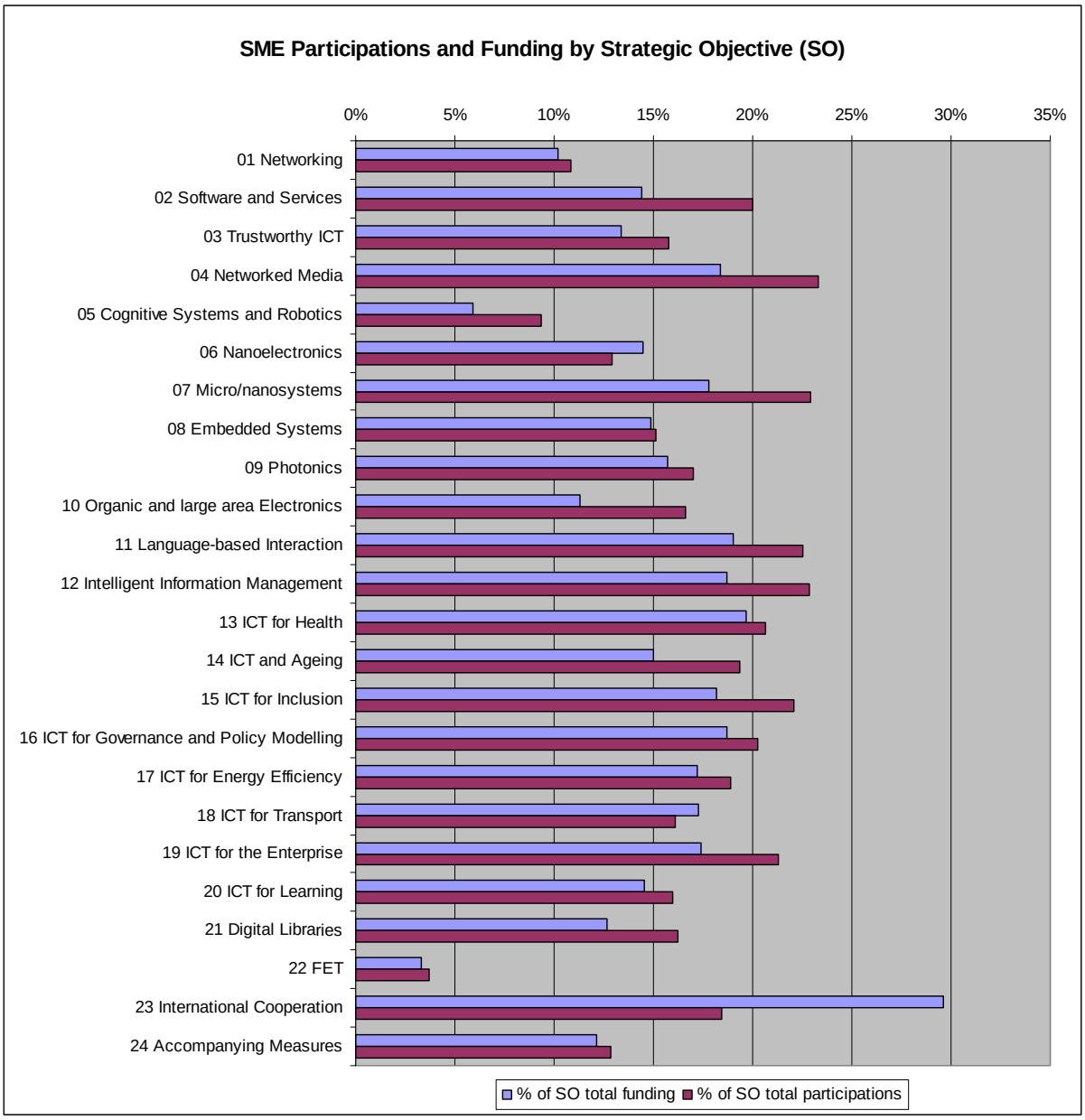
Figure 47: FP average number of participants per project type.



The analysis also shows that various degrees of specialisation exist in Europe: Germany is stronger in ICT for transport and ICT for enterprises and robotics, while France is more present in nanoelectronics and international cooperation. UK has a strong presence in ICT for policy and governance. Belgium excels in nanotechnologies, while Switzerland leads in microsystems. Also, German, Italian and UK organisations tend to have a higher presence in Future and Emerging Technologies (FETs). FETs are becoming increasingly popular among the research community due to the flexibility allowed by the so-called "Open" scheme, which is deadline free, so that proposals can be submitted anytime.

The participation rate of SMEs under the FP7 ICT programme is 15,4%. This figure varies considerably across strategic objectives: ICT for health or networking systems attracts several SMEs, which are less numerous in areas such as ICT for governance and policy. SMEs play a very important role in New Member States. For instance, SMEs represent more than 61% of total ICT funding in Bulgaria and more than 35% in Hungary, Latvia, Malta and Slovakia. The share of SMEs in terms of participations and funding by strategic objective is presented in Figure 48.

Figure 48: SME participations and funding (%) by strategic objective (SO).



Large companies in FP7 ICT attract around 20% of funding. This percentage is higher in Germany (28%), Spain (29%), and France (30%), i.e. countries that are home to world players such as SAP, Telefonica or Thales. Nine large industrial companies can be found in the top 50 ranking for the FP7 ICT.

Finally, research organisations represent 64% of funding. In several countries their share is comparatively large, for example in Greece (73%) and in the UK (75%). In several of the New Member States, funding is concentrated in a few research organisations e.g. Cyprus, Czech Republic, Hungary, Latvia, Lithuania, Estonia as well as Romania and Bulgaria.

4.9 Participation of SMEs

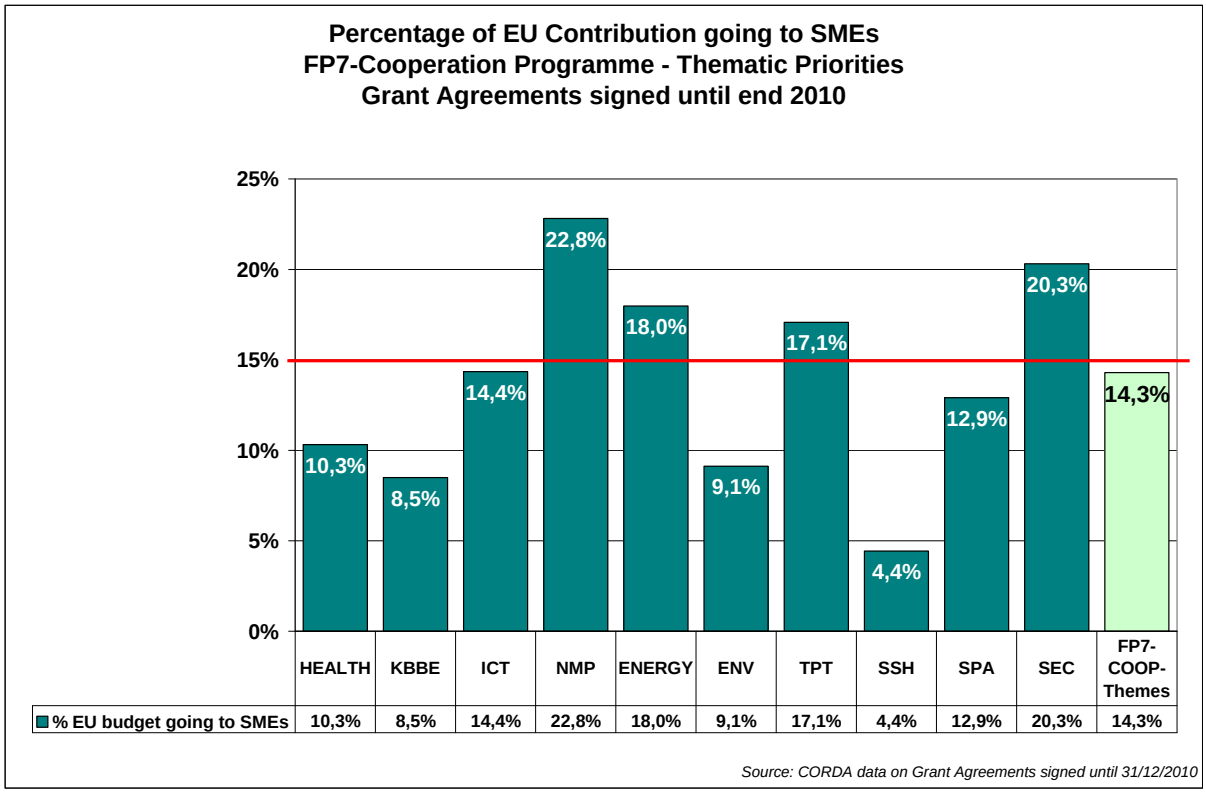
The participation of SMEs to FP7 is closely monitored by the European Commission. Particular attention is given to the funding for SMEs under the Cooperation Programme, in line with the target established in the FP7 Decision[59]. The aim is to ensure that at least 15% of the funding of the Cooperation Specific Programme goes to SMEs. This section focuses on the implementation of this 15% target.

4.9.1 Funding for SMEs under the Themes of the Cooperation Programme

The Themes (= Thematic Priorities) of the Cooperation Specific Programme represent 97,2% of the Cooperation Programme budget. Focusing on the SME participation in these Thematic Priorities only, 14,3% of the Cooperation budget (1.696 M€) is going to SMEs. Figure 49 presents the breakdown by theme by the end of 2010.

The Cooperation Programme still has 19.893 million € available to spend, i.e. 61,7% of the total budget in the remaining years of FP7 until 2013. In order to reach the 15% target for the whole FP7 period until the end of 2013, 15,4% from this remaining budget should go to SMEs. With the scheduled SME dedicated calls under the 2011 and 2012 Work Programmes the 15% target should be met before the end of FP7 in 2013.

Figure 49: The share of EU contribution going to SMEs for each theme within the Cooperation Programme.



Source: CORDA data on Grant Agreements signed until 31/12/2010

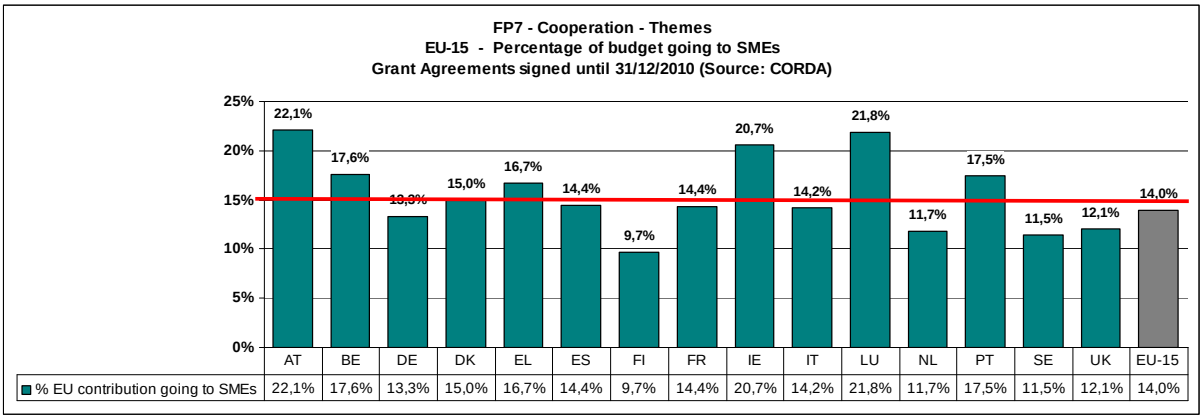
[59] Decision No 1982/2006/EC of the European Parliament and of the Council of 18 December 2006 concerning the Seventh Framework Programme of the European Community for Research, Technological Development and Demonstration activities (2007-2013). (http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2006:412:0001:0041:EN:PDF)

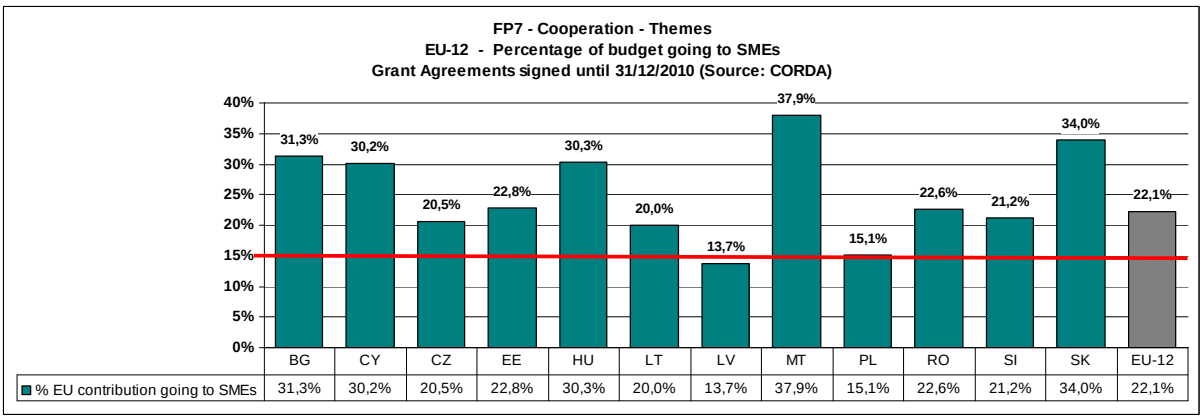
4.9.2 Funding for SMEs under the Cooperation Themes by country

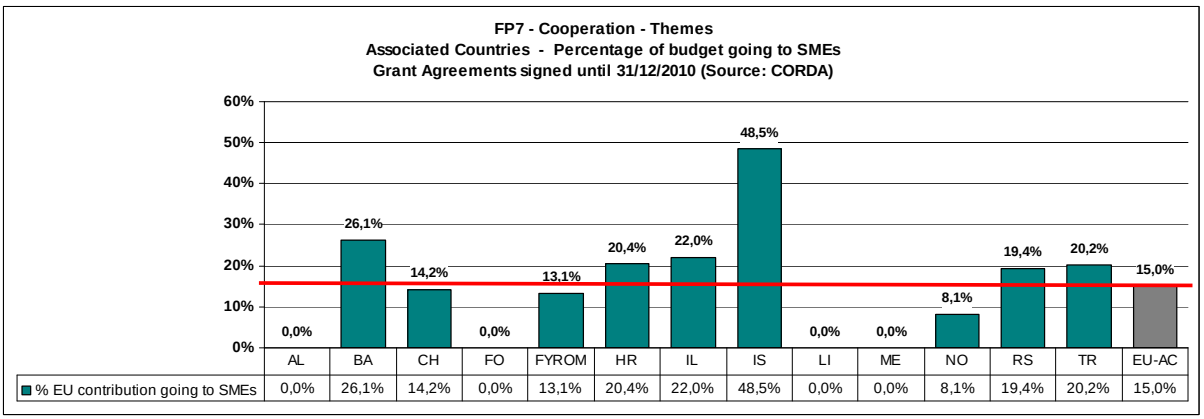
An indicator of the country performance regarding SME participation is the share of the budget going to SMEs per country under the ten Themes of the Cooperation Programme.

Figure 50 presents the SME budget share (percentage) in Grant Agreements under the ten Cooperation Programme Themes, per country and further broken down by old Member States (EU15), new Member States (EU12), and Associated Countries (AC).

Figure 50: Budget going to SMEs for the ten themes of the Cooperation Programme by country (EU15, EU12, Associated Countries)





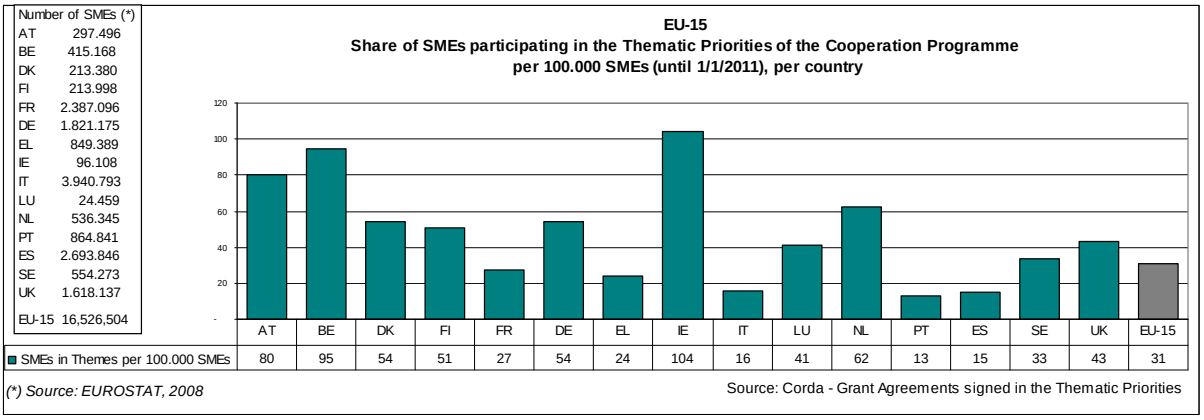


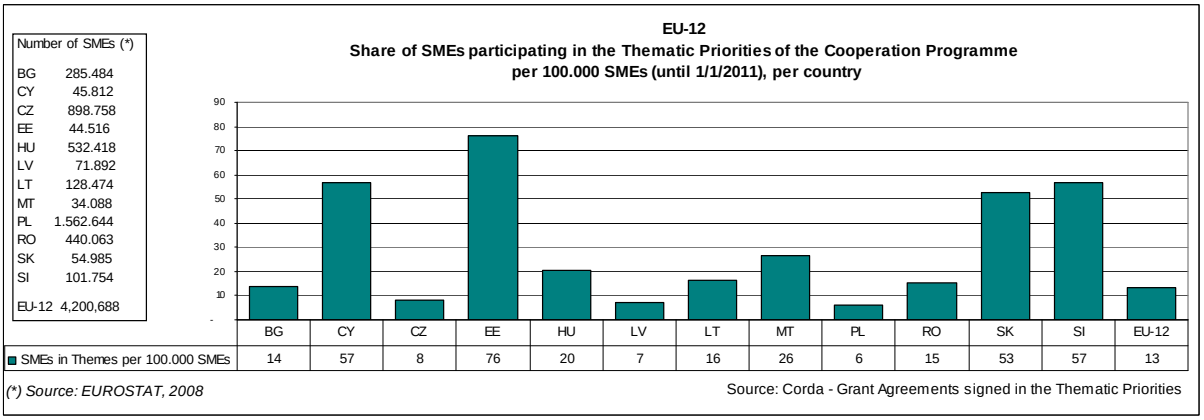
4.9.3 Participation degree of SMEs by country

In addition to the analysis per Thematic Priority versus the 15% target, another performance indicator was conceived for comparing the participation degree of SMEs per country: The *SME participation degree* presents the SMEs participating in FP7 in a given country compared to the SME population in this country[60/61].

The corresponding breakdown by EU15, EU12 and Associated Countries is presented in Figure 51, with Ireland having the highest SME participation degree of the EU27 (104), followed by Belgium (95), Austria (80), and Estonia (76). Corresponding figures for Serbia and Israel, both Associated Countries, are 481 and 399, respectively, hence the highest participation degrees overall.

Figure 51: Participation degree of SMEs per country in the themes of the Cooperation Programme (EU15, EU12, Associated Countries).





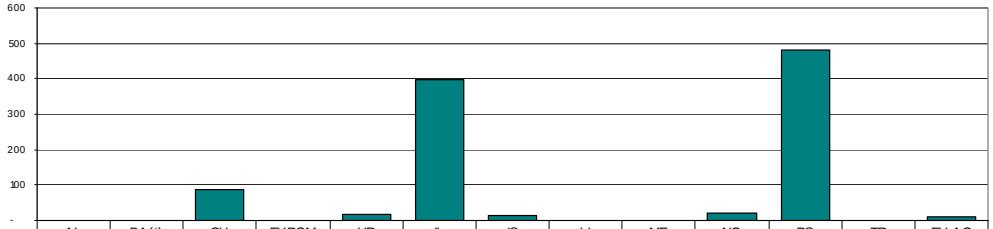
[60] Indicator: "Number of participating SME per country divided by the total SME population of that country, multiplied by 100.000"; i.e. the "Number of SMEs participating in FP7-Themes per 100.000 SMEs".

[61] *Sources:*

- *CORDA, Grant Agreements signed before 01/01/2011 in the ten Thematic Priorities.*
- Eurostat, mainly 2008, for the number of SMEs per country (no data available for Bosnia Herzegovina)

Number of SMEs (*)	
AL	62.397
BA	no data
HR	82.268
FYROM	657.980
IL	81.006
IS	23.332
LI	309.612
ME	18.733
NO	273.799
RS	2.705
CH	248.570
TR	2.313.720
AC	4.074.122

EU-Associated Countries
Share of SMEs participating in the Thematic Priorities of the Cooperation Programme per 100.000 SMEs (until 1/1/2011), per country



	AL	BA(*)	CH	FYROM	HR	IL	IS	LI	ME	NO	RS	TR	EU-AC
SMEs in Themes per 100.000 SMEs	-	-	87	0	18	399	12	-	-	20	481	1	11

(*) Source : EUROSTAT, 2008: HR, IL, LI, ME, NO;
2007: AL, FYROM, IS, RS; 2005: CH; 2006: TR; BA(*): no data

Source: Corda - Grant Agreements signed in the Thematic Priorities

5 FP7 ACHIEVEMENTS AND FIRST PROJECT OUTCOMES

Any monitoring of a major research programme would be crucially incomplete without a closer look at the results obtained and the impacts achieved. The system of FP7 monitoring indicators (see Annex A) does therefore include a number of key indicators related to the output of projects and programmes.

SESAM

Based on the FP7 revised project reporting system (SESAM), the information to be provided will be far more substantial than under previous Framework Programmes. Detailed information on reviews, publications, dissemination activities, patents, exploitable foregrounds per funding scheme and priorities/activities is extractable from SESAM. This new FP7 reporting system started operating in November 2009. This means that until now, and although grant agreements have already been signed for several thousands of FP7 projects, only a limited number of reports have been submitted electronically via the IT reporting tool, and it is thus still too early for an in-depth analysis.

Overall and by end of June 2011, 6798 periodic and mid-term reports, 1698 final reports, 1104 review reports, and 2404 assessments by project officers have been encoded. With these reports, already 194 patents and 1091 exploitable foregrounds have been provided, and 8149 peer reviewed publications have been reported. Table 17 below provides details by funding scheme and year. More systematic results are expected to be available for the 2011 Monitoring Report.

Table 17: Reports encoded in SESAM by funding scheme and year (by 30/06/2011)

Funding Scheme	Year	Periodic reports[62]	Final reports	Review reports	Assessments by Project Officers	Publications	Patents	Exploitable foregrounds
MCA	2009	137	12	1	0	19	1	1
	2010	1657	446	0	82	1272	20	85
	2011	1637	509	41	448	1478	20	52
MCA Totals		**3431**	**967**	**42**	**530**	**2769**	**41**	**138**
CP/CSA/NoE	2009	79	22	6	30	103	0	0
	2010	1322	228	353	758	937	11	163
	2011	1458	372	353	715	4077	86	433
CP/CSA/NoE Totals		**2859**	**622**	**712**	**1503**	**5117**	**97**	**596**
BSG	2009	0	0	0	0	0	0	0
	2010	173	24	180	151	39	7	114
	2011	335	85	170	220	224	49	243
BSG Totals		**508**	**109**	**350**	**371**	**263**	**56**	**357**
Overall Totals		**6798**	**1698**	**1104**	**2404**	**8149**	**194**	**1091**

[62] Including mid-term reports for MCA.

At the time of the writing of this report, a working group composed of representatives from all research family DGs and Agencies involved in the implementation of FP7 is developing a reinforced strategy for the communication of project results and outputs.

FP7 Interim Evaluation

Although the outcomes and achievements identified until today don't allow to determining a genuine impact of FP7, already the effective deployment of the available funds as such is having an impact on the European science system and the European Research Area (ERA). Successive rounds of competitive peer-review have resulted in the selection of more than 10.500 high-quality proposals, releasing almost € 18,5 billion in additional funding for transnational research cooperation and mobility. These extra resources support the work of several thousands of researchers across Europe and beyond, as well as significantly expanding the scientific labour force by enabling the recruitment of thousands of contract researchers and postdoctoral students. It provides much-needed funding for critical scientific infrastructure and equipment. As well as these additional inputs, the Framework Programme has a crucial impact on the scope, scale and ambition of European research, as demonstrated by the FP7 Interim Evaluation which was carried out by a high-level independent expert group in 2010.

The Expert Group had been asked to provide a comprehensive assessment of the rationale, implementation and impact of FP7 on the basis of the evidence available after three years.

The experts highlight very clearly the strong rational and the outstanding relevance of FP7, stating, in their report[63] *"A first key message is that FP7 is on course and is clearly making a significant contribution to European science and the development of the European Research Area"* and *"Whether judged by the number of researchers involved in cooperative projects, the geographical spread of teams or the range of topics covered, the Framework Programme has a vast and impressive reach"*.

The FP7 Interim Evaluation report also underlines the importance of FP7 for supporting excellent research: *"The Expert Group finds that the principle of excellence in project selection is largely achieved. In much of the Cooperation Programme to which nearly two-thirds of FP7 funding is allocated, leading researchers are being funded, the quality of proposals is generally assessed to be high and there is robust competition for funding. Despite being a new, and thus untried, instrument, the European Research Council (ERC) has manifestly succeeded in attracting and funding world-class research and is playing an important role in anchoring research talent*[64]*"*.

The FP7 Interim Evaluation expert group carefully analysed the FP impact on research and innovation: *"There are few hard facts available to assess the FP7's impact on Europe's research and innovation efforts in a systematic way. But there are several indications that such effects are indeed present. The Expert Group argues that even though the FP7 is defined as a precompetitive research and development programme, it has some key components that are underpinning innovation processes and capacities. In particular, these include the ways through which entities from different countries and across different sectors collaborate, making up a distinctive feature of dynamic innovation systems. It is also striking that*

[63] http://ec.europa.eu/research/evaluations/index_en.cfm (page 8).

[64] Page 8.

participants from industry, research and higher education collaborate with a high degree of inter-disciplinarity and application orientation. Many national evaluations of participation in FP6 and FP7 point to the importance of network effects and long term impacts which reinforce the overall economic specialisation of national economies and research systems (…).

Assessments of 'Cooperation' suggest that collaborative projects are at the core of ERA. The FP7 is assessed to fill in important gaps between national research activities, thus gaining critical mass in many areas and ensuring added value, as the assessments suggest that the FP7activities are not likely to have been implemented without EU level funding. (…)

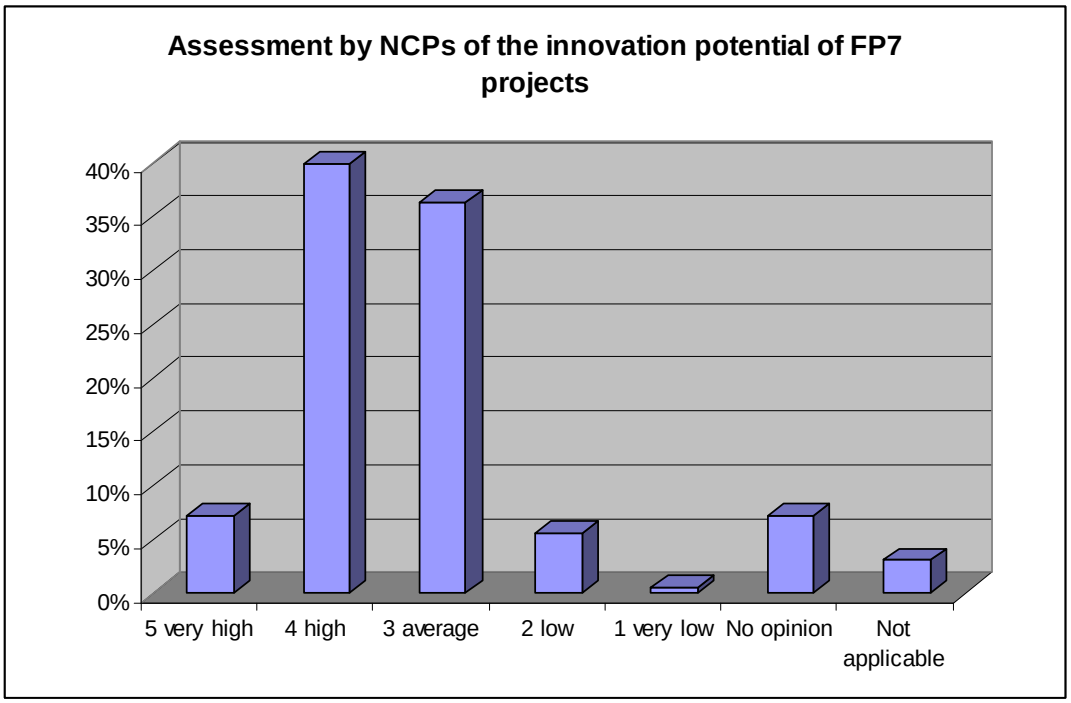
In sum, the Expert Group finds that FP7 has had tangible leverage effects and exhibits European added value, including complementing the operations of the business community in the European internal market. However, there are still obstacles to be removed and challenges to meet.[65]*".*

FP7 Innovation Potential

In the NCP survey conducted in the context of the 2010 monitoring exercise FP7 National Coordinators and FP7 Coordinators for Specific Fields were asked to rate the innovation potential of ongoing FP7 projects.

40% of the responding NCPs rate the innovation potential of ongoing FP7 projects as "high" (see Figure 50).

Figure 49: Assessment by NCPs of the innovation potential of FP7 projects.



Many NCPs highlight that the innovation potential depends on projects and scientific fields. For example, Socio-economic Sciences and Humanities, and Science in Society are seen as areas where the innovation potential could be enhanced "if cross-thematic and cross-

[65] Pages 61-62.

programme coordination would be improved". Other comments say the potential for innovation is important, but that exploitation and absorption of innovation are causing problems. NCPs have pointed out that innovation is not well valorised and does not lead sufficiently to concrete marketable results. Dissatisfaction was also expressed in a comment claiming that the European Commission's approach would be too top-down and pre-specified to allow for a broad competition of ideas.

ANNEX A: MONITORING SYSTEM FOR FP7

Context

The FP7 monitoring system is based on Article 7(1) and 6(1) of the EC and Euratom FP7 Decisions which states that[66]:

"The Commission shall continually and systematically monitor the implementation of the Seventh Framework Programme and its specific programmes and regularly report and disseminate the results of this monitoring."

The Ex-ante Impact Assessment on FP7 which was presented by the Commission at the same time as the FP7 proposal provides further detail[67]:

"Monitoring of implementation management would be ensured by operational senior management within the Commission on a continuous basis with annual check points and using a common set of management performance indicators. Adequate resource would be given to this process. The annual results of this exercise will be used to inform senior management and as an input to the ex post assessment exercise."

The introduction of a new monitoring system under FP7 that is also supposed to complement, where applicable, the DG RTD evaluation strategy, is further supported by the 2007 Special Report[68] of the European Court of Auditors concerning the Commission's system for evaluation and monitoring the Framework Programmes where the need for better coordination of evaluation and monitoring activities and the need to improve the relevance and credibility of these activities in terms of the decision making process were highlighted.

The changes to evaluation and monitoring introduced under FP7 are predominantly directed towards making these activities better suited to support policy and decision making, to improve their credibility and utility by strengthening the quality and consistency of the evidence base, and to enhance the overall coherence of the separate evaluation and monitoring activities carried out. Coherence also means ensuring that evaluation and monitoring fit with other similar activities for reporting and assessment such as the Annual Report and the components of the management cycle such as the Management Plan (MP) and Annual Evaluation Review (AER).

The annual Monitoring exercise already provided input for the Progress Report on FP7 implementation[69] and was part of the evidence base for the FP7 Interim Evaluation in 2010[70].

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[66] Decision no. 1982/2006/EC of the European Parliament and of the Council of 18 December 2006 concerning the Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007-2013), and Council Decision 2006/970/EURATOM of 18 December 2006 concerning the Seventh Framework Programme of the European Atomic Energy Community (Euratom) for nuclear research and training activities (2007 to 2011).

[67] This was explained more fully in the Commission staff working paper: Annex to the Proposal for the Council and European Parliament decisions on the 7th Framework Programme (EC and Euratom). Main Report: Overall summary – Impact assessment and ex ante evaluation (SEC (2005) 430).

[68] Special report no. 9/2007 concerning 'Evaluating the EU Research and Technological Development (RTD) framework programmes - could the Commission's approach be improved'? together with the Commission's replies (2008/C 26/01)

[69] Communication form the Commission to the Council, the European Parliament, the European Economic and Social Committee and the Committee of the regions on the progress made under the Seventh European Framework Programme for Research (COM (2009) 209, 29.04.2009)

[70] http://ec.europa.eu/research/evaluations/index_en.cfm

Key features, indicators, and coverage

The FP7 monitoring system is an *annual exercise*, based on a *coherent set of performance indicators*, with the resulting report covering the year preceding the report's publication. It is *carried out by the Commission internally* and targeted at the needs of senior Commission management.

In view of the need to minimise burden on services, to maximise the potential impact and utility of the system, and to promote transparency, further features are desirable:

- Complementarity to existing systems of data collecting and monitoring at operational level and within different DGs; extensive use made of existing data sources and information from other reports (e.g. Management Plan, Annual Activity Report, Art. 173);
- Collection of new data to be kept to a minimum;
- Number of indicators to be kept to a minimum;
- The indicators selected to allow coverage of the entire range of activities carried out under the FP, while also ensuring that the assessment is sensitive to the distinctive character of each element;
- Review whenever necessary.

The key indicators for the FP7 monitoring system address priority and sensitive issues, and taken together, are expected to provide a clear snapshot of the effectiveness and efficiency of FP7 implementation. They have been developed in early 2008 by a working group comprised of participants involved in research evaluation and monitoring activities from the research family DGs and representing the different structural features and types of research within the Framework Programmes.

The following table provides the detailed list of indicators including respective sets of sub-indicators as well as the main data source. The corresponding section in this report is also indicated.

INDICATOR / ISSUE	SUB-INDICATOR	MAIN DATA SOURCE	MONITORING REPORT
Promotion of FP7	1.1 Number of information days	Annual NCP Survey	Section 3.1.2
	1.2 Number of attendees at information days	Annual NCP Survey	Section 3.1.2
	1.3 Commission organised meetings of NCPs	DG RTD	Section 3.1.2
Performance of the calls	2.1 Success rates overall and by Specific Programme	CORDA	Section 2, Annex B
	2.2 Success rates in terms of proposals, applicants, project costs, EU contribution by Specific Programme	CORDA	Section 2, Annex B
	2.3 Success rate per country	CORDA	Section 2, Annex B
Performance of the proposal evaluation and redress procedure	3.1 Overall quality assessment of the proposal evaluators on the FP proposal evaluation process	Annual Evaluators' Survey	Section 3.2.1
	3.2 Assessment of quality by the evaluators between the FP evaluation process and other equivalent systems	Annual Evaluators' Survey	Section 3.2.1
	3.3 Time-to-grant	CORDA	Section 3.4
	3.4 Redress cases upheld (i.e. leading to a re-evaluation) – numbers and percentages	DG RTD	Section 3.2.2
Quality of on-going research projects	4.1 Average results of independent project review process	SESAM	see info Section 5
	4.2 Percentage of projects covered by reviews	SESAM	see info Section 5

Project performance by outputs	5.1 Average number of project publications per project	SESAM	see info Section 5
	5.2 Average number of other forms of dissemination activities	SESAM	see info Section 5
	5.3 Average number of different types of intellectual property protection	SESAM	see info Section 5
FP activity	6.1 Total number of active projects by Specific Programme	CORDA	Section 2, Annex B
	6.2 Average financial size of projects by Specific Programme	CORDA	Section 2, Annex B
	6.3 Participation by types of organisation by Specific Programme	CORDA	Section 2, Annex B
	6.4 Participation totals per country	CORDA	Section 2, Annex B
Achieving gender equality	7.1 Number of male and female coordinators in proposals	CORDA	Section 2.5
	7.2 Number of male and female coordinators in projects	CORDA	Section 2.5
	7.3 Gender breakdown (by seniority) of project participants	CORDA	Section 2.5
	7.4 Percentage of male and female members in Advisory Groups and Programme Committees	DG RTD	Section 2.5
Observing sound ethical principles in FP research	8.1 Number of projects going through the ethics review process by Specific Programme and theme	DG RTD	Section 3.3
	8.2 Number of ethics reviews where the result showed insufficient attention had been given in proposal	DG RTD	Section 3.3
	8.3 Number of projects stopped as a results of the ethics review	DG RTD	Section 3.3
	8.4 Number of ethics screenings	DG RTD	Section 3.3
Performance of international cooperation activities	9.1 Total numbers of participations of Third Countries by priority area and funding scheme	CORDA	Section 2, Annex B
	9.2 Success rates of Third Countries	CORDA	Section 2, Annex B
	9.3 EU contribution to Third Countries	CORDA	Section 2, Annex B
	9.4 Number of international outgoing/incoming fellowships	DG RTD	Section 4.3
Simplification	10.1 Do stakeholders perceive that the FP is getting simpler to use in terms of financial and administrative procedures?	Annual NCP Survey	Section 3.6.2
	10.2 How do stakeholders find the ease of use of the FP, compared to similar international research actions and large national schemes?	Annual NCP Survey	Section 3.5
	10.3 Are there any aspects of FP procedures which are adversely affecting to a significant extent the quality of research carried out and the quality of participation in the FP?	Annual NCP Survey	Section 3.5

The FP7 monitoring system is intended to cover all activities under the Framework Programme, with the exception of direct (in house) research actions carried out by the Joint Research Centre (JRC)[71]. The coverage is predominately for implementation issues and in a more limited way (reflecting data availability) research outputs.

This Monitoring Report covers the year 2010. It should be kept in mind that at the time of writing the report information on grant agreements resulting from 2010 calls can only be limited, considering that negotiations related to some of these 2010 calls are still ongoing. One consequence of the limitations in data availability is that it is not possible to be both informative and consistent in the definition of '2010' throughout the report. Where reference is made to 2010 calls, calls with a 2010 call closure date are included. Where little or no information is available for 2010, the report refers to the latest available data.

[71] The monitoring of JRC direct actions is carried out through the Annual Activity Reports and by the JRC Board of Governors based on the information contained in the JRC Annual Report.

ANNEX B: STATISTICAL TABLES ON PARTICIPATION PATTERNS

Table B1: Concluded (as of March 2011) calls under FP7 with closure dates in 2007, 2008, 2009 and 2010 and corresponding submitted proposals by specific programme.

SPECIFIC PROGRAMME	CLOSURE YEAR	2007		2008		2009		2010		2007-2010	
	STAGES	Calls	Submitted proposals	Calls	Submitted proposals	Calls	Submitted proposals	Calls	Submitted proposals	Calls	Submitted proposals
COOPERATION	1	24	8.872	19	3.450	27	5.275	35	3.393	105	20.990
	2	3	1.217	7	1.340	6	948	6	1.063	22	4.568
IDEAS	1	0	0	4	4.696	4	4.457	3	2.009	11	11.162
	2	1	9.167	0	0	0	0	0	0	1	9.167
PEOPLE	1	12	3.282	12	4.639	11	6.184	8	5.846	43	19.951
	2	1	905	0	0	0	0	0	0	1	905
CAPACITIES	1	17	1.881	12	1.676	16	1.839	10	1.197	55	6.593
	2	1	167	0	0	1	383	0	0	2	550
EURATOM	1	2	67	1	42	1	30	1	39	5	178
	2	0	0	0	0	0	0	0	0	0	0
Total	1	55	14.102	48	14.503	59	17.785	57	12.484	219	58.874
	2	6	11.456	7	1.340	7	1.331	6	1.063	26	15.190
	All stages	61	25.558	55	15.843	66	19.116	63	13.547	245	74.064

Table B2: Included and retained proposals, applicants, project budgets (in million euro) and corresponding success rates for FP7 calls concluded in 2007, 2008, 2009 and 2010.

SPECIFIC PROGRAMME	Counts of included proposals				Counts of retained proposals				Success rates of proposals				
	2007	2008	2009	2010	2007	2008	2009	2010	2007	2008	2009	2010	2007-2010
COOPERATION	9.029	3.728	5.325	3.494	1.479	691	1.052	705	16,4%	18,5%	19,8%	20,2%	18,2%
IDEAS	547	4.442	4.293	1.967	201	484	629	266	36,7%	10,9%	14,7%	13,5%	14,0%
PEOPLE	3.404	4.563	6.139	5.764	1.102	1.271	1.952	1.363	32,4%	27,9%	31,8%	23,6%	28,6%
CAPACITIES	1.643	1.575	1.925	1.134	332	256	385	227	20,2%	16,3%	20,0%	20,0%	19,1%
EURATOM	63	38	29	38	18	18	19	21	28,6%	47,4%	65,5%	55,3%	45,2%
Total	14.686	14.346	17.711	12.397	3.132	2.720	4.037	2.582	21,3%	19,0%	22,8%	20,8%	21,1%
SPECIFIC PROGRAMME	Applicants in included proposals				Applicants in retained proposals				Success rates of applicants				
	2007	2008	2009	2010	2007	2008	2009	2010	2007	2008	2009	2010	2007-2010
COOPERATION	84.887	37.561	48.840	36.785	16.184	8.145	10.729	8.716	19,1%	21,7%	22,0%	23,7%	21,0%
IDEAS	604	5.570	5.128	2.391	214	578	680	298	35,4%	10,4%	13,3%	12,5%	12,9%
PEOPLE	6.063	12.884	16.064	7.819	2.075	2.710	4.032	2.235	34,2%	21,0%	25,1%	28,6%	25,8%
CAPACITIES	12.590	10.951	12.781	9.901	3.334	2.397	3.791	2.197	26,5%	21,9%	29,7%	22,2%	25,4%
EURATOM	661	462	316	419	270	282	239	264	40,8%	61,0%	75,6%	63,0%	56,8%
Total	104.805	67.428	83.129	57.315	22.077	14.112	19.471	13.710	21,1%	20,9%	23,4%	23,9%	22,2%
SPECIFIC PROGRAMME	Project cost of included proposals				Project cost of retained proposals				Success rates in project costs				
	2007	2008	2009	2010	2007	2008	2009	2010	2007	2008	2009	2010	2007-2010
COOPERATION	40.837,2	19.055,1	23.737,2	16.292,3	7.830,6	3.838,3	5.183,4	4.002,9	19,2%	20,1%	21,8%	24,6%	20,9%
IDEAS	788,3	7.572,3	7.090,8	4.841,3	286,4	938,2	1.121,2	636,1	36,3%	12,4%	15,8%	13,1%	14,7%
PEOPLE	11,4	8,4	15,1	15,4	7,1	4,7	8,0	11,5	62,3%	55,6%	53,1%	74,6%	62,2%
CAPACITIES	2.728,0	3.563,3	4.288,8	1.967,1	835,2	1.088,3	1.110,6	425,4	30,6%	30,5%	25,9%	21,6%	27,6%
EURATOM	309,4	163,4	107,5	163,9	130,0	125,1	90,0	99,9	42,0%	76,6%	83,7%	61,0%	59,8%
Total	44.674,5	30.362,4	35.239,5	23.280,0	9.089,3	5.994,6	7.513,2	5.175,8	20,3%	19,7%	21,3%	22,2%	20,8%
SPECIFIC PROGRAMME	EU contribution to included proposals				EU contribution to retained proposals				Success rates in EU contribution				
	2007	2008	2009	2010	2007	2008	2009	2010	2007	2008	2009	2010	2007-2010
COOPERATION	28.730,4	12.951,7	17.162,8	11.826,0	5.515,3	2.737,7	3.687,5	2.800,7	19,2%	21,1%	21,5%	23,7%	20,9%
IDEAS	770,3	7.349,8	6.839,5	4.310,1	279,1	927,0	1.093,2	623,1	36,2%	12,6%	16,0%	14,5%	15,2%
PEOPLE	9,5	6,0	11,7	11,3	5,8	2,9	5,8	8,2	60,6%	49,0%	50,0%	72,8%	59,1%
CAPACITIES	2.088,6	2.770,9	3.677,3	1.528,6	636,0	712,0	842,7	329,5	30,5%	25,7%	22,9%	21,6%	25,0%
EURATOM	202,3	78,1	62,8	96,7	78,9	52,1	51,1	57,2	39,0%	66,7%	81,4%	59,1%	54,4%
Total	31.801,2	23.156,7	27.754,0	17.772,7	6.515,1	4.431,8	5.680,3	3.818,8	20,5%	19,1%	20,5%	21,5%	20,3%

Table B3: Numbers of EU27 applicants and requested EU financial contribution in retained proposals (in € million) and corresponding success rates for FP7 calls concluded in 2007, 2008, 2009 and 2010 by country.

	COUNTRIES	Applicants in retained proposals				Success rates of applicants				EC contribution to retained proposals				Success rates in EC contribution			
		2007	2008	2009	2010	2007	2008	2009	2010	2007	2008	2009	2010	2007	2008	2009	2010
MEMBER STATES	AT - Austria	581	324	486	332	20,5%	19,3%	22,6%	23,7%	178,8	105,2	151,3	95,9	20,4%	17,9%	21,7%	21,5%
	BE - Belgium	976	573	814	597	27,1%	24,2%	27,9%	27,0%	306,4	172,3	228,6	159,0	26,5%	21,7%	23,6%	23,8%
	BG - Bulgaria	161	94	95	77	14,9%	15,6%	17,2%	21,8%	18,7	11,8	15,0	8,2	11,6%	10,3%	9,6%	13,6%
	CY - Cyprus	74	49	73	55	15,4%	16,6%	18,0%	19,1%	8,9	7,9	14,3	7,7	8,5%	11,3%	14,8%	12,3%
	CZ - Czech Republic	281	159	188	127	20,9%	17,6%	21,3%	19,7%	51,7	24,7	33,9	22,0	18,4%	11,5%	16,7%	16,3%
	DE - Germany	3.054	1.762	2.473	1.662	23,4%	21,8%	24,2%	26,8%	1.162,5	692,9	968,1	640,4	24,0%	22,7%	24,2%	26,4%
	DK - Denmark	447	285	370	247	24,4%	22,9%	26,3%	25,3%	144,2	110,2	130,1	84,6	22,6%	22,6%	26,1%	23,2%
	EE - Estonia	108	68	75	54	22,4%	23,6%	24,5%	20,5%	19,5	10,5	11,9	8,1	20,3%	19,1%	16,2%	13,9%
	EL - Greece	685	384	584	313	15,5%	14,6%	17,8%	17,2%	178,9	92,1	162,9	61,0	14,1%	10,6%	13,7%	12,8%
	ES - Spain	1.443	992	1.534	1.117	18,9%	19,4%	21,3%	21,5%	383,3	256,1	397,2	302,2	17,8%	15,8%	18,2%	20,3%
	FI - Finland	507	281	411	207	23,1%	22,7%	24,4%	21,1%	182,4	132,9	117,4	70,0	23,2%	24,3%	19,2%	16,7%
	FR - France	2.205	1.379	1.733	1.166	25,7%	24,3%	26,2%	27,5%	770,6	512,5	635,6	385,0	26,6%	24,0%	27,3%	26,3%
	HU - Hungary	309	191	217	173	17,6%	20,4%	21,7%	24,1%	47,1	30,9	38,3	26,9	12,2%	14,0%	15,5%	18,4%
	IE - Ireland	270	162	320	195	22,7%	21,0%	24,7%	23,6%	68,5	31,5	93,8	56,6	19,1%	12,9%	20,7%	18,7%
	IT - Italy	1.956	1.218	1.694	1.120	17,1%	16,6%	19,8%	20,3%	589,0	384,3	459,6	314,3	16,3%	14,2%	16,3%	17,0%
	LT - Lithuania	71	61	57	53	15,7%	24,0%	21,8%	23,1%	9,2	9,2	8,5	4,6	11,8%	23,3%	16,5%	15,6%
	LU - Luxembourg	31	17	27	18	18,1%	16,7%	19,0%	18,8%	7,9	1,6	3,9	2,7	15,7%	5,4%	10,1%	10,9%
	LV - Latvia	58	35	41	31	20,9%	20,3%	22,5%	19,7%	7,8	3,1	3,3	2,4	14,9%	10,6%	8,0%	8,9%
	MT - Malta	49	19	22	18	23,6%	14,1%	15,8%	20,2%	4,0	1,9	3,1	1,2	11,8%	7,6%	16,1%	9,0%
	NL - Netherlands	1.234	817	1.004	782	26,2%	24,4%	25,5%	27,9%	414,8	311,3	368,4	274,7	24,4%	22,9%	24,8%	25,7%
	PL - Poland	424	246	340	258	17,6%	15,8%	20,6%	23,9%	80,6	40,9	68,0	34,8	15,3%	9,8%	15,2%	14,1%
	PT - Portugal	329	242	344	211	17,9%	18,4%	22,7%	19,9%	67,1	47,3	67,3	44,5	14,7%	13,8%	17,7%	18,4%
	RO - Romania	234	132	139	98	13,3%	15,3%	15,2%	15,5%	30,3	18,0	23,5	11,3	8,9%	8,7%	9,4%	9,5%
	SE - Sweden	825	476	596	473	24,4%	22,8%	24,4%	29,1%	277,1	163,7	205,9	158,1	22,2%	20,0%	21,0%	24,7%
	SI - Slovenia	179	95	126	80	15,6%	15,5%	15,9%	17,1%	33,5	11,8	18,8	13,1	14,6%	8,3%	9,2%	11,2%
	SK - Slovakia	105	61	73	51	17,4%	19,1%	23,0%	21,9%	14,9	7,1	9,3	7,4	12,0%	10,5%	14,2%	16,6%
	UK - United Kingdom	2.648	1.829	2.434	1.796	23,1%	23,3%	24,9%	25,6%	838,5	723,1	759,5	562,9	21,2%	23,9%	21,4%	22,3%
	Subtotal	**19.244**	**11.951**	**16.270**	**11.311**	**21,3%**	**20,7%**	**23,1%**	**24,0%**	**5.896,3**	**3.914,8**	**4.997,3**	**3.359,8**	**20,8%**	**19,4%**	**20,8%**	**21,7%**
CANDIDATE & ASSOCIATED	AL - Albania	7	6	10	6	8,2%	16,2%	23,3%	20,7%	0,4	0,2	0,6	0,2	5,2%	7,2%	10,9%	9,3%
	BA - Bosnia-Herzegovina	7	5	6	8	6,8%	15,2%	13,0%	16,7%	0,6	0,2	0,3	0,6	6,5%	7,7%	2,5%	10,2%
	CH - Switzerland	703	523	688	423	23,5%	27,1%	26,6%	28,8%	250,7	232,9	288,5	150,6	23,6%	29,6%	27,9%	25,7%
	FO - Faroe Islands	3	1	1	1	75,0%	50,0%	50,0%	25,0%	0,2	0,1	0,4	0,2	69,1%	13,0%	67,7%	44,6%
	HR - Croatia	68	39	40	69	17,4%	14,1%	11,8%	29,9%	9,1	8,3	7,1	8,7	14,5%	12,7%	5,0%	21,4%
	IL - Israel	281	217	313	204	18,3%	19,9%	24,4%	23,6%	88,3	91,9	122,0	67,1	16,5%	14,6%	19,8%	15,6%
	IS - Iceland	38	29	30	29	21,7%	26,4%	19,7%	22,7%	8,8	6,8	3,0	7,4	18,7%	18,8%	7,7%	18,4%
	LI - Liechtenstein	1	2	1	2	5,3%	25,0%	12,5%	33,3%	0,4	0,4	0,5	0,8	8,7%	24,9%	27,8%	36,1%
	ME - Montenegro	8	10	3	7	15,7%	33,3%	9,7%	38,9%	0,4	0,5	1,3	0,2	9,1%	12,1%	12,8%	20,2%
	MK - FYROM	20	17	10	13	15,5%	20,2%	11,8%	19,7%	2,4	3,4	1,4	0,6	14,1%	18,1%	3,6%	6,3%
	NO - Norway	333	241	346	258	22,0%	23,3%	26,1%	28,1%	97,4	77,8	114,4	89,0	19,0%	18,8%	21,8%	25,6%
	RS - Serbia	50	31	36	42	12,6%	12,6%	11,1%	24,9%	11,3	4,4	10,3	3,9	13,1%	6,9%	6,4%	13,9%
	TR - Turkey	142	118	185	177	12,7%	12,3%	19,8%	21,3%	25,4	15,9	24,0	16,7	8,9%	3,3%	4,2%	10,6%
	Subtotal	**1.661**	**1.239**	**1.669**	**1.239**	**19,5%**	**21,2%**	**23,3%**	**25,9%**	**495,4**	**442,8**	**573,9**	**346,1**	**18,8%**	**17,6%**	**18,2%**	**21,0%**
THIRD (WITH S&T AGREEMENTS)	AR - Argentina	33	26	34	29	19,8%	27,7%	34,0%	22,0%	3,5	2,8	0,8	2,0	16,0%	26,2%	11,8%	12,2%
	AU - Australia	46	44	63	33	29,3%	44,0%	35,4%	25,2%	1,2	1,3	1,5	0,3	24,2%	22,2%	30,5%	8,2%
	BR - Brazil	32	55	90	62	10,5%	27,8%	29,5%	19,9%	4,0	5,8	5,6	6,7	8,0%	22,5%	16,0%	14,2%
	CA - Canada	49	33	59	36	25,3%	26,6%	37,3%	26,3%	1,8	1,2	2,8	0,9	18,6%	20,5%	32,0%	30,4%
	CL - Chile	14	13	24	18	13,7%	22,4%	36,4%	17,8%	1,5	0,6	0,7	1,0	11,4%	7,5%	11,1%	7,8%
	CN - China	77	54	127	127	14,8%	22,3%	28,7%	34,0%	10,4	4,4	6,3	5,3	15,5%	17,1%	13,1%	15,5%
	EG - Egypt	11	22	42	33	6,9%	21,6%	21,6%	19,3%	0,7	0,5	4,2	4,6	2,9%	4,1%	14,6%	17,2%
	IN - India	90	46	75	44	22,0%	24,5%	25,4%	18,4%	11,4	5,5	8,4	4,3	18,6%	24,5%	22,2%	16,1%
	JO - Jordan	7	3	15	10	13,2%	12,5%	27,3%	22,7%	0,3	0,1	1,3	1,1	4,7%	2,6%	19,3%	30,4%
	JP - Japan	19	10	32	18	24,7%	24,4%	36,4%	26,9%	1,4	0,4	1,4	1,3	21,5%	41,0%	27,9%	41,3%
	KR - Republic of Korea	11	10	15	1	32,4%	35,7%	29,4%	8,3%	0,7	0,9	0,8	0,0	32,4%	47,7%	28,2%	0,0%
	MA - Morocco	22	21	32	20	15,4%	30,0%	22,7%	20,4%	2,4	0,5	3,1	1,9	14,0%	9,0%	18,8%	17,5%
	MX - Mexico	17	14	59	28	16,5%	15,7%	33,3%	20,7%	1,8	1,0	1,7	3,0	14,2%	7,6%	11,5%	13,7%
	NZ - New Zealand	11	21	24	17	34,4%	50,0%	40,7%	32,1%	1,1	0,1	1,0	0,3	30,5%	9,5%	34,1%	8,1%
	RU - Russia	121	128	118	95	19,2%	22,1%	22,7%	27,2%	19,4	10,2	14,1	8,8	17,3%	13,7%	20,2%	18,2%
	TN - Tunisia	13	15	24	22	11,2%	28,8%	17,5%	23,4%	1,8	0,2	3,5	2,4	11,0%	6,0%	21,9%	18,6%
	UA - Ukraine	38	41	37	38	15,4%	22,3%	23,1%	23,0%	4,1	2,6	1,7	2,1	12,6%	14,6%	12,5%	11,9%

	US - United States	196	167	281	182	28,9%	26,3%	32,0%	23,4%	8,9	7,2	10,4	10,2	25,0%	17,2%	19,5%	31,2%
	ZA - South Africa	52	33	72	56	26,1%	23,9%	36,4%	24,6%	7,1	4,0	7,2	9,5	19,0%	16,9%	26,2%	21,2%
	Subtotal	**859**	**756**	**1.223**	**869**	**19,9%**	**25,3%**	**29,1%**	**24,0%**	**83,3**	**49,3**	**76,5**	**65,5**	**15,6%**	**16,1%**	**18,8%**	**17,7%**
THIRD (OTHER)		**313**	**166**	**309**	**291**	**19,4%**	**20,5%**	**25,5%**	**16,4%**	**40,1**	**24,9**	**32,6**	**47,4**	**17,8%**	**22,3%**	**22,6%**	**16,9%**
TOTAL		**22.077**	**14.112**	**19.471**	**13.710**	**21,1%**	**20,9%**	**23,4%**	**23,9%**	**6.515,1**	**4.431,8**	**5.680,3**	**3.818,8**	**20,5%**	**19,1%**	**20,5%**	**21,5%**

Table B4: Numbers of FP7 signed grant agreements, participants and amounts of budgets (in € million) and corresponding numbers and shares of SMEs for concluded FP7 calls with closure date in the period 2007-2010 by specific programme.

SPECIFIC PROGRAMME	GRANTS	PARTICIPANTS			PROJECT COST			EU CONTRIBUTION		
	All	All	SME	% all	All (€M)	SME (€M)	% all	All (€M)	SME (€M)	% all
COOPERATION	3.472	38.928	6.388	16,40%	17.620,10	2.332,60	13,20%	12.333,40	1.729,80	14,00%
IDEAS	1.539	1.702	6	0,40%	2.408,00	7,5	0,30%	2.406,80	7,5	0,30%
PEOPLE	4.461	7.801	445	5,70%	1.827,50	113,2	6,20%	1.702,70	107,6	6,30%
CAPACITIES	971	9.380	2.855	30,40%	2.598,50	830,6	32,00%	1.845,10	581,2	31,50%
EURATOM	81	1.134	69	6,10%	403,9	16,3	4,00%	204,2	10,8	5,30%
TOTAL	**10.524**	**58.945**	**9.763**	**16,60%**	**24.858,00**	**3.300,10**	**13,30%**	**18.492,10**	**2.436,90**	**13,20%**

Table B5: Minimum, median, average, and maximum time-to-grant (in days) for FP7 grant agreements signed in 2007 - 2011 by thematic area (as of June 2011).

SPECIFIC PROGRAMME	THEMATIC AREA	GRANTS	MINIMUM	MEDIAN	AVERAGE	MAXIMUM	STD
COOPERATION	**Health**	562	243	407	427	804	111
	Food, Agriculture and Fisheries, Biotechnology	253	282	455	447	650	78
	Information and Communication Technologies	1.194	147	255	264	629	51
	Nanosciences, Nanotechnologies, Materials and new Production Technologies	377	156	397	393	665	87
	Energy	182	169	361	346	610	104
	Environment (including Climate Change)	279	294	470	454	651	106
	Transport (including Aeronautics)	354	231	514	487	1.115	131
	Socio-economic Sciences and Humanities	137	223	424	431	782	108
	Space	119	314	428	451	724	90
	Security	119	228	519	527	929	143
	General Activities	16	112	420	384	493	108
IDEAS	**ERC**	1.727	203	341	349	666	70
PEOPLE	**Marie-Curie Actions**	4.983	122	308	318	666	103
CAPACITIES	**Research Infrastructures**	229	222	346	359	641	109
	Research for the benefit of SMEs	417	202	397	424	809	97
	Regions of Knowledge	49	229	304	323	589	95
	Research Potential	127	239	349	345	473	58
	Science in Society	80	210	397	395	573	93
	Support for the coherent development of research policies	7	180	333	315	538	115
	Activities of International Cooperation	66	227	309	329	717	96
EURATOM	**Fusion Energy**	3	409	409	414	422	7
	Nuclear Fission and Radiation Protection	78	230	377	382	748	145
Total		**11.358**	**112**	**334**	**348**	**1.115**	**112**

ANNEX C: STATISTICAL RESULTS OF NCP SURVEY ON FP7 PROMOTION AND IMPLEMENTATION IN 2010

Response statistics of the NCP survey for the FP7 2010 Monitoring Report.

Date open: 2011-02-22
End date: 2011-03-29
There are 195 responses matching your criteria of a total of 195 records in the current set of data.

A. Information on responding NCP

A.3 Please indicate the country of your NCP.

	Number of requested records	% of total number records
Albania	2	1,03%
Austria	11	5,64%
Belgium	4	2,05%
Bosnia & Herzegovina	3	1,54%
Bulgaria	11	5,64%
Croatia	7	3,59%
Cyprus	3	1,54%
Czech Republic	8	4,10%
Denmark	1	0,51%
Estonia	4	2,05%
Faroe Islands	1	0,51%
Finland	3	1,54%
France	14	7,18%
FYR of Macedonia	3	1,54%
Germany	16	8,21%
Greece	5	2,56%
Hungary	7	3,59%
Iceland	2	1,03%
Ireland	10	5,13%
Israel	0	0,00%
Italy	4	2,05%
Latvia	5	2,56%
Liechtenstein	0	0,00%
Lithuania	2	1,03%
Luxembourg	2	1,03%
Malta	3	1,54%
Montenegro	1	0,51%
Norway	5	2,56%
Poland	5	2,56%
Portugal	4	2,05%
Romania	6	3,08%
Serbia	1	0,51%
Slovakia	3	1,54%
Slovenia	2	1,03%
Spain	13	6,67%
Sweden	3	1,54%
Switzerland	6	3,08%
The Netherlands	6	3,08%
Turkey	3	1,54%
United Kingdom	6	3,08%

B. Information and Views for the 2010 Monitoring Report of FP7

B.1 Promotion of FP7 in 2010

B.1.1 Promotion of FP7 - information days 2010: Please, indicate the total number of FP7 information days organised by your NCP in 2010.

	Number of requested records	% of total number records
0	9	4,62%
1 - 3	80	41,03%
4 - 7	39	20,00%
> 7	60	30,77%
Don't know	1	0,51%
Not applicable	6	3,08%

B.1.2 Promotion of FP7 - attendees at 2010 information days: Please, indicate an estimate of the total number of all attendees at all these 2010 information days.

	Number of requested records	% of total number records
< 10	4	2,05%
11 - 50	24	12,31%
51 - 100	47	24,10%
> 100	107	54,87%
Don't know	2	1,03%
Not applicable	11	5,64%

B.2 FP7 Implementation in 2010 - Project Life Cycle

B.2.1 FP7 Implementation 2010 - available information: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2010, the information available on FP7 calls?

	Number of requested records	% of total number records
5 (= excellent)	27	13,85%
4 (= good)	115	58,97%
3 (= satisfactory)	49	25,13%
2 (= poor)	3	1,54%
1 (= very poor)	0	0,00%
No opinion	1	0,51%

B.2.2 FP7 Implementation 2010 - proposal evaluation procedures:Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2010, the procedures for the evaluation of proposals submitted under FP7?

	Number of requested records	% of total number records
5 (= excellent)	12	6,15%
4 (= good)	92	47,18%
3 (= satisfactory)	67	34,36%
2 (= poor)	12	6,15%
1 (= very poor)	1	0,51%
No opinion	9	4,62%
Not applicable	2	1,03%

B.2.3 FP7 Implementation 2010 - redress procedures: Based on your own observation and the feedback received from researchers and stakeholders in your country, how would you rate, for 2010, the procedures for redress?

	Number of requested records	% of total number records
5 (= excellent)	4	2,05%
4 (= good)	34	17,44%
3 (= satisfactory)	53	27,18%
2 (= poor)	22	11,28%
1 (= very poor)	9	4,62%
No opinion	54	27,69%
Not applicable	19	9,74%

B.2.4 FP7 Implementation 2010 - observing sound ethical principles in FP research: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2010, the procedures for ethics reviews and screenings in FP7?

	Number of requested records	% of total number records
5 (= excellent)	19	9,74%
4 (= good)	61	31,28%
3 (= satisfactory)	25	12,82%
2 (= poor)	6	3,08%

1 (= very poor)	1	0,51%
No opinion	62	31,79%
Not applicable	21	10,77%
B.2.5 FP7 Implementation 2010 - grant negotiations: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2010, the handling of FP7 grant negotiations/finalisation by Commission Services?		
	Number of requested records	% of total number records
5 (= excellent)	4	2,05%
4 (= good)	73	37,44%
3 (= satisfactory)	75	38,46%
2 (= poor)	24	12,31%
1 (= very poor)	2	1,03%
No opinion	10	5,13%
Not applicable	7	3,59%
B.2.6 FP7 Implementation 2010 - project management: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2010, the management of FP7 projects by Commission Services/Executive Agencies (ERCEA, REA)/JTIs?		
	Number of requested records	% of total number records
5 (= excellent)	11	5,64%
4 (= good)	69	35,38%
3 (= satisfactory)	69	35,38%
2 (= poor)	9	4,62%
1 (= very poor)	5	2,56%
No opinion	22	11,28%
Not applicable	10	5,13%
B.2.7 FP7 Implementation 2010 - simplification (1): Based on your own observations and the feedback received from researchers and stakeholders in your country, please rate, for 2010, the ease of the use of FP7 for the following administrative and financial aspects or procedures, compared to FP6:		
Finding information on Framework Programme:		
	Number of requested records	% of total number records
Easier than in FP6	99	50,77%
Same as in FP6	48	24,62%
More difficult than in FP6	3	1,54%
No opinion	33	16,92%
Not applicable	12	6,15%
Finding information on open calls:		
	Number of requested records	% of total number records
Easier than in FP6	100	51,28%
Same as in FP6	49	25,13%
More difficult than in FP6	3	1,54%
No opinion	31	15,90%
Not applicable	12	6,15%
FP7 application procedures (proposal submission):		
	Number of requested records	% of total number records
Easier than in FP6	109	55,90%
Same as in FP6	30	15,38%
More difficult than in FP6	10	5,13%
No opinion	32	16,41%
Not applicable	14	7,18%
FP7 grant negotiations:		
	Number of requested records	% of total number records
Easier than in FP6	52	26,67%
Same as in FP6	59	30,26%
More difficult than in FP6	15	7,69%
No opinion	53	27,18%
Not applicable	16	8,21%
FP7 project management (in general):		
	Number of requested records	% of total number records
Easier than in FP6	56	28,72%

Same as in FP6	57	29,23%
More difficult than in FP6	28	14,36%
No opinion	41	21,03%
Not applicable	13	6,67%
FP7 project management - financial aspects and requirements:		
	Number of requested records	% of total number records
Easier than in FP6	68	34,87%
Same as in FP6	40	20,51%
More difficult than in FP6	34	17,44%
No opinion	39	20,00%
Not applicable	14	7,18%
FP7 project reporting and project reviews:		
	Number of requested records	% of total number records
Easier than in FP6	61	31,28%
Same as in FP6	55	28,21%
More difficult than in FP6	22	11,28%
No opinion	44	22,56%
Not applicable	13	6,67%
FP7 IT tools (e.g. NEF):		
	Number of requested records	% of total number records
Easier than in FP6	91	46,67%
Same as in FP6	24	12,31%
More difficult than in FP6	19	9,74%
No opinion	44	22,56%
Not applicable	17	8,72%
Communication with Commission Services (e.g. Project Officer, Financial Officer) in FP7:		
	Number of requested records	% of total number records
Easier than in FP6	46	23,59%
Same as in FP6	74	37,95%
More difficult than in FP6	18	9,23%
No opinion	42	21,54%
Not applicable	15	7,69%
B.2.8 FP7 Implementation 2010 - simplification (2): Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2010, the ease of the use of FP7 for the following administrative and financial aspects or procedures in absolute terms?		
Finding information on FP7:		
	Number of requested records	% of total number records
5 (= excellent)	38	19,49%
4 (= good)	108	55,38%
3 (= satisfactory)	42	21,54%
2 (= poor)	4	2,05%
1 (= very poor)	0	0,00%
No opinion	2	1,03%
Not applicable	1	0,51%
Finding information on FP7 open calls:		
	Number of requested records	% of total number records
5 (= excellent)	48	24,62%
4 (= good)	98	50,26%
3 (= satisfactory)	42	21,54%
2 (= poor)	4	2,05%
1 (= very poor)	0	0,00%
No opinion	2	1,03%
Not applicable	1	0,51%
FP7 application procedures (proposal submission):		
	Number of requested records	% of total number records
5 (= excellent)	28	14,36%
4 (= good)	97	49,74%

3 (= satisfactory)	59	30,26%
2 (= poor)	5	2,56%
1 (= very poor)	2	1,03%
No opinion	3	1,54%
Not applicable	1	0,51%
FP7 grant negotiations:		
	Number of requested records	% of total number records
5 (= excellent)	4	2,05%
4 (= good)	62	31,79%
3 (= satisfactory)	82	42,05%
2 (= poor)	20	10,26%
1 (= very poor)	3	1,54%
No opinion	20	10,26%
Not applicable	4	2,05%
FP7 project management (in general):		
	Number of requested records	% of total number records
5 (= excellent)	8	4,10%
4 (= good)	69	35,38%
3 (= satisfactory)	89	45,64%
2 (= poor)	13	6,67%
1 (= very poor)	1	0,51%
No opinion	12	6,15%
Not applicable	3	1,54%
FP7 project management - financial aspects and requirements:		
	Number of requested records	% of total number records
5 (= excellent)	6	3,08%
4 (= good)	56	28,72%
3 (= satisfactory)	86	44,10%
2 (= poor)	29	14,87%
1 (= very poor)	5	2,56%
No opinion	10	5,13%
Not applicable	3	1,54%
FP7 project reporting and project reviews:		
	Number of requested records	% of total number records
5 (= excellent)	12	6,15%
4 (= good)	61	31,28%
3 (= satisfactory)	79	40,51%
2 (= poor)	24	12,31%
1 (= very poor)	1	0,51%
No opinion	14	7,18%
Not applicable	4	2,05%
FP7 IT tools (e.g. NEF):		
	Number of requested records	% of total number records
5 (= excellent)	23	11,79%
4 (= good)	60	30,77%
3 (= satisfactory)	65	33,33%
2 (= poor)	22	11,28%
1 (= very poor)	1	0,51%
No opinion	19	9,74%
Not applicable	5	2,56%
Communication with Commission Services (e.g. Project Officer, Financial Officer):		
	Number of requested records	% of total number records
5 (= excellent)	22	11,28%
4 (= good)	79	40,51%
3 (= satisfactory)	60	30,77%
2 (= poor)	17	8,72%

1 (= very poor)	1	0,51%
No opinion	13	6,67%
Not applicable	3	1,54%
B.2.9 FP7 Implementation 2010 - dissemination of project findings: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2010, the communication and dissemination of FP7 project findings:		
By project consortia:		
	Number of requested records	% of total number records
5 (= excellent)	5	2,56%
4 (= good)	50	25,64%
3 (= satisfactory)	73	37,44%
2 (= poor)	31	15,90%
1 (= very poor)	7	3,59%
No opinion	24	12,31%
Not applicable	5	2,56%
By the European Commission Research web site on EUROPA		
	Number of requested records	% of total number records
5 (= excellent)	10	5,13%
4 (= good)	59	30,26%
3 (= satisfactory)	60	30,77%
2 (= poor)	36	18,46%
1 (= very poor)	3	1,54%
No opinion	23	11,79%
Not applicable	4	2,05%
By the Community Research and Development Information Service CORDIS		
	Number of requested records	% of total number records
5 (= excellent)	16	8,21%
4 (= good)	53	27,18%
3 (= satisfactory)	77	39,49%
2 (= poor)	33	16,92%
1 (= very poor)	4	2,05%
No opinion	9	4,62%
Not applicable	3	1,54%

B.3 FP7 Implementation in 2010 - General Aspects

B.3.1 Role of FP7 in global context: Based on your own observations and the feedback received from researchers and stakeholders in your country, do you think that FP7 ...		
... comprises an effective balance between academic, industrial (including SMEs), and research organisation sectors?		
	Number of requested records	% of total number records
5 (= strongly agree)	13	6,67%
4 (= agree)	58	29,74%
3 (= average)	66	33,85%
2 (= disagree)	48	24,62%
1 (= strongly disagree)	1	0,51%
No opinion	9	4,62%
... adequately stimulates the participation of industry?		
	Number of requested records	% of total number records
5 (= strongly agree)	11	5,64%
4 (= agree)	48	24,62%
3 (= average)	67	34,36%
2 (= disagree)	50	25,64%
1 (= strongly disagree)	6	3,08%
No opinion	13	6,67%
... adequately stimulates the participation of women?		
	Number of requested records	% of total number records
5 (= strongly agree)	13	6,67%
4 (= agree)	64	32,82%
3 (= average)	67	34,36%

2 (= disagree)	30	15,38%
1 (= strongly disagree)	6	3,08%
No opinion	15	7,69%
... adequately stimulates the participation of young researchers?		
	Number of requested records	% of total number records
5 (= strongly agree)	15	7,69%
4 (= agree)	67	34,36%
3 (= average)	63	32,31%
2 (= disagree)	27	13,85%
1 (= strongly disagree)	10	5,13%
No opinion	13	6,67%
... provides sufficient opportunity for the participation of EU12 Member States?		
	Number of requested records	% of total number records
5 (= strongly agree)	16	8,21%
4 (= agree)	65	33,33%
3 (= average)	43	22,05%
2 (= disagree)	23	11,79%
1 (= strongly disagree)	14	7,18%
No opinion	34	17,44%
B.3.2 Equal opportunities in FP7: Based on your own observations and the feedback received from researchers and stakeholders in your country, do you think that the way FP7 is designed and implemented provides equal opportunities for the participation of women and men?		
	Number of requested records	% of total number records
5 (= strongly agree)	29	14,87%
4 (= agree)	88	45,13%
3 (= average)	49	25,13%
2 (= disagree)	13	6,67%
1 (= strongly disagree)	3	1,54%
No opinion	13	6,67%
Not applicable	0	0,00%
B.3.3 FP7 Novel measures: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2010, the implementation of the following FP7 novel measures?		
European Research Council (ERC)		
	Number of requested records	% of total number records
Very well implemented	27	13,85%
Generally well implemented	98	50,26%
Acceptable	19	9,74%
Poorly implemented	7	3,59%
No opinion	44	22,56%
Joint Technology Initiatives (JTIs)		
	Number of requested records	% of total number records
Very well implemented	4	2,05%
Generally well implemented	34	17,44%
Acceptable	60	30,77%
Poorly implemented	38	19,49%
No opinion	59	30,26%
Article 185 (ex-169) Initiatives		
	Number of requested records	% of total number records
Very well implemented	2	1,03%
Generally well implemented	42	21,54%
Acceptable	55	28,21%
Poorly implemented	16	8,21%
No opinion	80	41,03%
Risk Sharing Finance Facility (RSFF)		
	Number of requested records	% of total number records
Very well implemented	4	2,05%
Generally well implemented	40	20,51%

Acceptable	42	21,54%
Poorly implemented	31	15,90%
No opinion	78	40,00%
ERA-Net plus		
	Number of requested records	% of total number records
Very well implemented	8	4,10%
Generally well implemented	59	30,26%
Acceptable	61	31,28%
Poorly implemented	8	4,10%
No opinion	59	30,26%
Public Private Partnerships (PPPs) under the European Economic Recovery Plan		
	Number of requested records	% of total number records
Very well implemented	6	3,08%
Generally well implemented	51	26,15%
Acceptable	38	19,49%
Poorly implemented	13	6,67%
No opinion	87	44,62%
B.3.4 Simplification under FP7: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2010, the effectiveness of the following FP7 simplification measures?		
Certification of costs (fewer audit certificates)		
	Number of requested records	% of total number records
5 (= very high)	37	18,97%
4 (= high)	63	32,31%
3 (= average)	49	25,13%
2 (= low)	12	6,15%
1 (= very low)	2	1,03%
No opinion	32	16,41%
Participants Guarantee Fund (fewer ex-ante financial checks)		
	Number of requested records	% of total number records
5 (= very high)	30	15,38%
4 (= high)	64	32,82%
3 (= average)	48	24,62%
2 (= low)	8	4,10%
1 (= very low)	2	1,03%
No opinion	43	22,05%
Unique Registration Facility (URF)		
	Number of requested records	% of total number records
5 (= very high)	43	22,05%
4 (= high)	81	41,54%
3 (= average)	40	20,51%
2 (= low)	7	3,59%
1 (= very low)	1	0,51%
No opinion	23	11,79%
Certification of methodology		
	Number of requested records	% of total number records
5 (= very high)	8	4,10%
4 (= high)	43	22,05%
3 (= average)	42	21,54%
2 (= low)	32	16,41%
1 (= very low)	20	10,26%
No opinion	50	25,64%
Web-based electronic system for negotiations (NEF)		
	Number of requested records	% of total number records
5 (= very high)	16	8,21%
4 (= high)	77	39,49%
3 (= average)	51	26,15%

2 (= low)	14	7,18%
1 (= very low)	2	1,03%
No opinion	35	17,95%
Project reporting - streamlined guidelines and structure of reports		
	Number of requested records	% of total number records
5 (= very high)	15	7,69%
4 (= high)	69	35,38%
3 (= average)	70	35,90%
2 (= low)	12	6,15%
1 (= very low)	3	1,54%
No opinion	26	13,33%
Grant amendments - streamlined rules and procedures		
	Number of requested records	% of total number records
5 (= very high)	11	5,64%
4 (= high)	53	27,18%
3 (= average)	69	35,38%
2 (= low)	21	10,77%
1 (= very low)	2	1,03%
No opinion	39	20,00%
Research Participant Portal		
	Number of requested records	% of total number records
5 (= very high)	21	10,77%
4 (= high)	79	40,51%
3 (= average)	50	25,64%
2 (= low)	15	7,69%
1 (= very low)	3	1,54%
No opinion	27	13,85%
B.3.5 FP7 - Comparison with other funding schemes: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate the ease of the use of FP7, in 2010, compared with similar international research actions or large national schemes?		
	Number of requested records	% of total number records
5 (= FP7 much less complex than other schemes)	8	4,10%
4 (= less complex)	30	15,38%
3 (= about the same)	40	20,51%
2 (= more complex)	71	36,41%
1 (= much more complex)	27	13,85%
No opinion	15	7,69%
Not applicable	4	2,05%

B.4 FP7 and Innovation

B.4.1 FP7 and Innovation (1): Based on your own observations and the feedback received from researchers and stakeholders in your country, do you think that there is adequate information on and understanding of innovation policy in the European context, in particular regarding:		
The Innovation Union Plan		
	Number of requested records	% of total number records
5 (= strongly agree)	6	3,08%
4 (= agree)	46	23,59%
3 (= average)	66	33,85%
2 (= disagree)	45	23,08%
1 (= strongly disagree)	8	4,10%
No opinion	24	12,31%
The Innovation Union Action Points		
	Number of requested records	% of total number records
5 (= strongly agree)	2	1,03%
4 (= agree)	42	21,54%
3 (= average)	58	29,74%
2 (= disagree)	49	25,13%
1 (= strongly disagree)	13	6,67%

No opinion	31	15,90%
European Innovation Partnerships		
	Number of requested records	% of total number records
5 (= strongly agree)	3	1,54%
4 (= agree)	32	16,41%
3 (= average)	53	27,18%
2 (= disagree)	52	26,67%
1 (= strongly disagree)	23	11,79%
No opinion	32	16,41%
B.4.2 FP7 and Innovation (2): Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate the innovation potential of ongoing FP7 projects in your field(s)?		
	Number of requested records	% of total number records
5 (= very high)	14	7,18%
4 (= high)	78	40,00%
3 (= average)	71	36,41%
2 (= low)	11	5,64%
1 (= very low)	1	0,51%
No opinion	14	7,18%
Not applicable	6	3,08%
B.4.3 FP7 and Innovation (3): Based on your own observations and the feedback received from researchers and stakeholders in your country, do you think that innovation has become, in 2010, a more prominent policy objective in your country?		
In the context of FP7		
	Number of requested records	% of total number records
5 (= strongly agree)	29	14,87%
4 (= agree)	87	44,62%
3 (=average)	40	20,51%
2 (= disagree)	20	10,26%
1 (= strongly disagree)	8	4,10%
No opinion	11	5,64%
Outside FP7		
	Number of requested records	% of total number records
5 (= strongly agree)	27	13,85%
4 (= agree)	80	41,03%
3 (=average)	44	22,56%
2 (= disagree)	23	11,79%
1 (= strongly disagree)	8	4,10%
No opinion	13	6,67%

ANNEX D: GLOSSARY

AAL	–	Ambient Assisted Living Joint Programme
AC	–	Associated Countries
ACARE	–	Advisory Council for Aeronautical Research in Europe
AdG	–	ERC Advanced Grants
AENEAS	–	Association for European Nanoelectronis Activities
AENP	–	European Neighbourhood Policy
AER	–	Annual Evaluation Review
AIP	–	Annual Implementation Plan
ARTEMIS	–	Embedded Computing Systems Joint Technology Initiative
BEV	–	Battery Electric Vehicle
BRIC	–	Brazil, Russia, India, China
BSG	–	Research for the Benefit of Specific Groups
CATRENE	–	Cluster for Application and Technology Research in Europe on NanoElectronics
CIG	–	Career Integration Grants
Clean Sky	–	Aeronautics and Air Transport Joint Technology Initiative
COFUND	–	Marie Curie Co-funding of Regional, National and International Programmes
CORDA	–	Common Research Data Warehouse
CORDIS	–	Community Research and Development Information Service for Science
CP	–	Collaborative Project
CP/CP-CSA	–	Combination of Collaborative Project & Coordination and Support Action
CROR	–	Counter Rotating Open Rotor
CS	–	Clean Sky (Joint Undertaking)
CSA	–	Coordination and Support Action
DG COMM	–	Directorate-General for Communication
DG EAC	–	Directorate-General for Education and Culture
DG ENTR	–	Directorate-General for Enterprise and Industry
DG HR	–	Directorate-General Human Resources and Security
DG INFSO	–	Directorate-General for Information Society and Media
DG RTD	–	Directorate-General for Research & Innovation
DIGIT	–	Directorate-General for Informatics
DIS	–	Dedicated Implementation Structure
EC	–	European Commission
EDCTP	–	European & Developing Countries Clinical Trials Partnership
EEIG	–	European Economic Interest Group
EFDA	–	European Fusion Development Agreement
EFPIA	–	European Federation of Pharmaceutical Industries and Associations
EIB	–	European Investment Bank
EMRP	–	European Metrology Joint Research Programme
ENIAC	–	Nanoeletronics Technologies 2020 Joint Technology Initiative
ENV	–	Environment (including Climate Change)
EPSS	–	Electronic Proposal Submission System
ERA	–	European Research Area
ERAB	–	European Research Area Board

ERA-NETs plus	–	European Research Area Networks
ERC	–	European Research Council
ERCEA	–	European Research Council Executive Agency
ESFRI	–	European Strategy Forum on Research Infrastructures
ESNII	–	European Sustainable Nuclear Industrial Initiative
ESR	–	Evaluation Summary Report
EU SDS	–	EU renewed Sustainable Development Strategy
EURAB	–	European Advisory Board
F4E	–	Fusion for Energy European Joint Undertaking
FCEV	–	Fuel Cell Electric Vehicle
FCH	–	Fuel Cells and Hydrogen Joint Technology Initiative
FET	–	Future & Emerging Technologies
FP	–	Framework Programme for Research and Technological Development
FTB	–	Flying Test Bed
GIF	–	Generation IV International Forum
HES	–	Higher or Secondary Education Organisation
IAPP	–	Marie Curie Industry-Academia Pathways and Partnerships
ICE	–	Internal Combustion Engine
ICT	–	Information and Communication Technologies
IEF	–	Intra-European Fellowships
IEG	–	independent Expert Group
IGDTP	–	Implementing Geological Disposal Technology Platform
IIF	–	International Incoming Fellowships
IMI	–	Innovative Medicines Initiative Joint Technology Initiative
INCO	–	Activities of International Cooperation
INCO-NETS	–	Activities of International Cooperation - Networks
INFRA	–	Research Infrastructures
IOF	–	International Outgoing Fellowships
IP	–	Integrated project
IRSES	–	Marie Curie International Research Staff Exchange Scheme
ITD	–	Integrated Technology Demonstrator
ITER	–	International Thermonuclear Experimental Reactor
ITN	–	Marie Curie Initial Training Networks
JAC	–	Joint-Assessment Committee
JET	–	Joint European Torus
JRC	–	Joint Research Centre
JTI	–	Joint Technology Initiative
JU	–	Joint Undertaking
KBBE	–	Knowledge Based Bio-Economy
LEAR	–	Legal Entity Appointed Representative
LS	–	Life Sciences
MASP	–	Multi Annual Strategy Plan
MCA	–	Marie Curie Action
MELODI	–	Multidisciplinary European Low-Dose Initiative
MP	–	Management Plan

NCP	–	National Contact Point
NEF	–	Negotiation Form Facility
NMP	–	Nanosciences, Nanotechnologies, Materials and new Production Technologies
NoE	–	Network of Excellence
NUTS	–	Nomenclature of Units for Territorial Statistics
OTH	–	Other
PIC	–	Participant Identification Code
PMO	–	Office for Administration and Payment of Individual Entitlements
PPP	–	Public Private Partnership
PRC	–	Private for Profit Organisation
PUB	–	Public Body
REA	–	Research Executive Agency
REC	–	Research Organisation
RSFF	–	Risk Sharing Financial Facility
RTDI	–	Research, Technological Development and Innovation
S&T	–	Science and Technology
SET-Plan	–	Strategy Energy Technology Plan
SFIC	–	Strategic Forum for International Cooperation
SFWA	–	SMART Fixed Wing Aircraft
SICAS	–	Specific International Coordination Actions
SiS	–	Science in Society
SLA	–	Service Level Agreement
SME	–	Small and Medium Enterprise
SNETP	–	Sustainable Nuclear Energy Technology Platform
SRA	–	Strategic Research Agenda
SSH	–	Socio-economic Sciences and Humanities
StG	–	ERC Starting Grants
STREP	–	Specific Targeted Research Project
TFEU	–	Treaty on the Functioning of the European Union
TTG	–	Time-to-grant
TTP	–	Time-to-pay
URF	–	Unique Registration Facility
WMO	–	Waste Management Organisation

ANNEX E: KEY REFERENCES

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Further information and reports can be found on the DG RTD Evaluation website.